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ABSTRACT

This survey is a description of the cataloging in publication (CIP) programs presently operational in four countries--the United States, USSR, Brazil, and Australia--and isolates in each of these national experiences the ingredients for success. Both the description of procedures and the recognition of factors which rendered the publishing climate of each country hospitable to CIP should provide a starting point for the planning of similar programs in other countries. Each of the first four chapters (one for each country) contains an introduction to administration, and funding; communications with publishers and librarians; the logistics and system of the program; the elements comprising the CIP entry; descriptive and subject cataloging; use of CIP data by libraries; and participation in the program by publishers. Chapter 5 describes preliminary CIP studies in the Federal Republic of Germany, Mexico, the United Kingdom, and Canada. Requirements and recommendations for beginning a CIP program are presented in the last section entitled Guidelines for Implementation. (Author/JAB)

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NATIS

CATALOGUING IN PUBLICATION

An international survey

by

L.R. SWINDLEY

Chief cataloguer
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This survey is one of a series of studies currently in progress as part of Unesco's efforts to promote Universal Bibliographic Control (UBC), the aim of which is to "make universally and promptly available, in a form that is internationally acceptable, basic bibliographic data on all publications issued in all countries".

The aim of cataloguing in publication is to provide libraries, bibliographers, booksellers, and other interested persons with cataloguing data in advance of publication. The present survey describes the present state of cataloguing in publication programmes in different regions of the world. It was prepared under a Unesco contract concluded with the International Federation of Library Associations (IFLA) and is intended as a contribution to the preparation of the International Conference on the Improvement of National Bibliographic Control which Unesco, in co-operation with IFLA, will organize in 1977.

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The purpose of cataloguing in publication (CIP) is to provide cataloguing information to publishers in advance of publication in order that the information may be printed in the book to which it belongs. In this way, the book and its cataloguing data are available simultaneously to libraries, booksellers, bibliographers, and all other persons who have a need for such data. Perhaps the key word of the last sentence is "simultaneously" because it is less the provision of cataloguing data for books that is at issue than the timeliness of its provision. The time-lag between the acquisition of a book and the availability of authoritative cataloguing data has been more than adequately covered in the literature - notably by S. Elspeth Pope[1] - and there seem little point in attempting here to justify further the need for CIP. Consequently, it will be assumed, throughout this study, that the concept of providing cataloguing data in advance of publication is a valid one. Certainly, CIP does not immediately solve all the problems which face libraries in their attempts to control the over-increasing amount of material acquired. On the other hand, it is probably the best solution available. The aims of CIP are sound in that they seek to improve library processing at a number of points and speed books to users.

There is possibly a tendency to see CIP in isolation purely as an aid to cataloguing, and then only insofar as the entry printed in the book provides a prototype for a secondary product: a set of catalogue cards.

[1] S. Elspeth Pope, The Time-lag in Cataloging, Metuchen, N.J., Scarecrow Press, 1973.

For instance, a use survey carried out in the United States, which is described briefly in Chapter One, showed that few of the libraries questioned perceived a link between the Library of Congress CIP Program and the earlier availability of printed LC cards.[1] However, the implications of CIP are farther reaching. As a part of a total national bibliographic programme, these pre-publication catalogue records can be made available for selection and ordering purposes, as well as cataloguing, being disseminated by means of the national bibliography or machine-readable record distribution service, or both.

Not only libraries benefit. Publishers, too, are in a position to utilize the data supplied by the bibliographic agency in their internal files, trade catalogues, and promotional material. This, in turn, contributes to a degree of citation standardization which benefits both library and publisher at all stages of contact between the two.

In spite of this, the direct benefits of CIP to publishers are less than immediately apparent or tangible. It can be argued that as libraries are major customers it is in the interests of publishers to join in programmes which benefit those customers, especially in view of the possibility that economies achieved by libraries in processing may well be translated into additional book purchasing power. However, it is generally believed - and has almost certainly proved the case in the United States and Australia - that publishers become involved in CIP not in the expectation of any direct gains but because of the service they thus render to their largest client group and because of their appreciation of the part they can play in achieving effective national and international bibliographic control.

[1] Final card copy for CIP titles is generally available on or before the publication date, whereas cards for non-CIP titles are seldom available before 8 to 10 weeks after publication.

The survey that follows is an attempt to describe in some detail the cataloguing in publication programmes at present operational in four countries - the United States of America, USSR, Brazil, and Australia - and to isolate in each of these national experiences the ingredients for success. Both the description of procedures and the recognition of factors which rendered the publishing climate of each country hospitable to CIP should provide a starting point for the planning of similar programmes in other countries.

What have been seen as constituting the basic conditions which must exist before implementation of a national CIP programme can be considered practicable are listed in Part III. In addition, a series of recommendations have been made. Some of these recommendations are qualified to take into account, as far as possible, contrasting booktrade conditions, while others have been considered inviolable - particularly those pertaining to international standardization.

PART I

OPERATIONAL PROGRAMMES

CHAPTER 1

THE UNITED STATES

Introduction

The following study of the American cataloguing in publication programme is considerably more detailed than the studies of other countries' schemes which follow it. This is not necessarily because the U.S. CIP Program is viewed by the writer as being superior to the programmes operating in the USSR, Brazil, and Australia. Neither is it because the U.S. programme is senior; CIP in the USSR predates it, and in Brazil CIP started on the very same date as it did in the United States. Rather, the U.S. CIP Program is undoubtedly of profound significance to the English-speaking library community. Not only is its coverage of American publishing output demonstrably high, but the cataloguing standards embodied in Library of Congress cataloguing data are acceptable to a wide spectrum of libraries from the United States to Australia to the United Kingdom. These standards include the use of the Anglo-American Cataloging Rules and Dewey Decimal Classification. To these will shortly be added International Standard Bibliographic Description for Monographic Publications (ISBD(M)).

The U.S. CIP Program is also an example of a centralized system fully integrated with a national bibliographic programme. Up to six months before a book appears on the market a MARC-CIP record is created and distributed to subscribers, including library suppliers and commercial firms who can, from these automated data, produce catalogue cards, catalogues, and other bibliographic materials. These applications are, of course, additional to the more traditional library activities of selection and ordering. The other major component of this bibliographic machine is the Library of Congress printed catalogue card, prepared upon receipt of the folded and

gathered pre-publication copy of the book, and also available before publication.[1] Viewed in this company, the entry printed in the book could, excusably, be seen as a by-product or, at best, an interim device to tide many libraries over until access to automated bibliographic facilities is wider spread than it is today.

Finally, to all these reasons must be added another: the ready availability of information on the U.S. programme and the unceasing and prompt co-operation of the CIP Office in supplying details that were not easily extracted from published sources.

Background

Apart from a few ill-fated early attempts at the provision of cataloguing data integral with the book, dating from Justin Winsor's suggestion in 1876,[2] the first serious centralized programme[3] instituted by a national bibliographic agency in the United States took place from June 1958 to February 1959. This was the cataloguing in source experiment conducted by the Library of Congress (LC) aided by a grant of $55,000 from the Council on Library Resources (CLR) and with the collaboration of the Library of the U.S. Department of Agriculture (now the National Agricultural

[1] Final card copy for non-CIP American imprints is usually not ready until two to eight weeks after receipt of the publication.

[2] Verner W. Clapp, "The Greatest Invention Since the Title-page? Autobibliography From Incipit to Cataloging-in-publication", Wilson Library Bulletin, v.46 no.4 (December 1971), p. 354.

[3] Decentralized cataloguing in publication is being practised by some American publishers. Henry Z, Walck, Inc., of New York, has included a main entry catalogue card printed on the verso of the title page or on the jacket of almost every book published by the firm. Other publishers supplying an entry either in all or some of publications include Campus Publishers, in Ann Arbor, Michigan; University of South Carolina Press. Examples quoted from S. Elspeth Pope, The Time-lag in Cataloging, Metuchen, N.J., Scarecrow Press, 1973, pp. 88089.

Library (NAL)). The experiment was called Cataloging in Source (CIS) and, while it ran, a total of 1,203 monograph titles were catalogued prior to publication and the resulting entries - identical in content to a regular LC printed card - printed in the books.

While it is not the purpose of this survey to recount the operation of the CIS experiment, it is useful to consider some aspects which influenced the now-operational Cataloging in Publication Program. (Indeed, the results have had farther reaching influences: the Australian CIP programme, which will be discussed later in this survey, has also taken cognizance of the lessons which were to be learnt.)

From post-experiment conferences held by LC and from the extensive user survey conducted, which, together with the detailed description of operations and statistics, were reported in the 1960 CIS report,[1] it was found that 98-99% of librarians consulted were enthusiastic in their support of the service.[2] In addition, the great majority of participating publishers had been willing to continue in a permanent programme if it provided a useful service to libraries.[3] While acknowledging the almost unqualified acceptance of CIS, the report concluded that the programme should neither be continued nor tried again.

In view of the expenditure of resources necessary to meet the stringent deadlines LC had imposed upon themselves (24 hour in-house turn around) in an effort to avoid disruption of publishers' schedules, these

[1] U.S. Library of Congress Processing Department, The Cataloging-in-source Experiment: A Report to the Librarian of Congress by the Director of the Processing Department, Washington, D.C., 1960.

[2] Ibid., p. 58.

[3] Ibid., p. 34.

conclusions are probably not all that surprising. The average processing time of 7 hours 10 minutes per entry included, as well as cataloguing, the typesetting, proofing, and printing of the catalogue card for return to the publisher. In terms of pressure upon staff, such a schedule could not be borne in a continuing operation; neither could the cost of $25.00 per entry.

However, this was only one of numerous reasons for the discontinuance of CIS. Others were a) interference with, and sometimes disruption of, publishers' schedules; b) the cost to publishers; c) the prospect of great increases in the cost to LC of a continuing programme; d) the objections of some authors and publishers to the inclusion in the entry of elements such as birthdates, real names where pseudonyms had been used, and certain subject headings, e.g. Juvenile literature; e) the large number of errors in CIS entries resulting from discrepancies between the book as catalogued pre-publication and the book as finally published;[1] and f) the shortly expected availability of two commercial bibliographic services - the expanded bibliographic listings of Publishers' Weekly and the Bro-Dart Industries processing services - which would enable librarians to procure authoritative cataloguing data for new books rapidly after publication.

It was ten years after the end of the CIS experiment that demands began to be voiced for a re-appraisal of the scheme. The alternatives had been tried and found wanting to an even greater extent than before.

[1] The high incidence of error reduced substantially the benefit of CIS to the user as fewer than half of the printed entries could be copied without correction. All had to be checked carefully. The 615 faulty entries each contained an average of 1.7 errors, the majority of which were in the quantitative details.

The availability of central cataloguing data could not meet demands for promptness. Although plans for using photocomposition for cataloguing records that were being converted to machine-readable form and plans for mechanizing many of the manual operations necessary to operate the LC card distribution service were well advanced in 1969, both the processing of individual card orders and the use of hot metal for the printing of cards were largely manual operations which could not provide the degree of promptness demanded by users of LC cataloguing at that point in time. Not only had there been a vast increase in the number of titles catalogued by LC and, consequently, a corresponding increase in the production of cards, but the demand for these cards rose at an even greater rate.[1] The vaunted commercial services held out to librarians as an alternative to CIS were able to release data only as fast as it was available to them, and their access, like that of libraries, was dependent upon manual printing and distribution processes which were not fast enough.

A pre-conference programme on acquisitions was co-sponsored by the Joint Committee of the American Library Association's Resources and Technical Services Division and of the American Book Publishers' Council (since 1970 the Association of American Publishers (AAP)) at the annual conference of the American Library Association held in Atlantic City in June 1969. The problems besetting libraries' acquisition programmes as a result of the lack of LC cataloguing data were discussed. The time-lag between receipt of books and user access and the unprofitable recourse to original cataloguing by libraries across the nation, made inevitable by the lack of reliable central cataloguing data, were central issues.

It was suggested that relief of the situation might lie in pre-publication cataloguing. CIS should be looked at again. The re-evaluation was spurred by the unexpected support from a distinguished American librarian, Dr. Joseph L. Wheeler, in an article entitled "Top priority for cataloguing-in-source".[2]

[1] The number of titles catalogued by LC increased from 111,000 in 1959 to 244,000 in 1969, an increase of 120 percent. In the same period the number of cards distributed rose 150 percent, from 35 million to 101 million. Figures quoted in Verner W. Clapp's "Cataloguing in Publication", Unesco Bulletin for Libraries, v. 27 no. 1 (January-February 1973), p.3.

[2] Joseph L. Wheeler, "Top Priority for Cataloging-in-source", Library Journal, v.94 (15 September 1969) pp. 3007-12.

With the support of LC, the Joint Committee took steps to implement an examination of the feasibility of a new pre-publication cataloguing programme which would surmount the principal obstacles to renewal put forward in the CIS report of 1960. To this end, the Joint Committee sought the assistance of the Council on Library Resources (CLR), which body had funded the 1958-59 experiment. The CLR lent to the study a consultant, Verner W. Clapp. The Association of American Publishers also gave staff and other support to the project and an advisory sub-committee was designated by the Joint Committee at its next meeting at the ALA Midwinter Meeting in Chicago on 20 January 1970.

The first step in the study was to ascertain precisely the causes of the discontinuance of the CIS experiment. CIS had been scrupulously documented and it was in these records that the controlling reasons were sought. If a new programme were to succeed, steps would have to be taken to avoid the pitfalls encountered in the previous one. The resulting analysis, accompanied by a set of eleven questions, to which the provision of satisfactory answers was a necessary condition for the implementation of a new programme, was ready in February 1970 for submission to the Librarian of Congress, L. Quincy Mumford.

The second step was to supply the answers to those questions. From February to August 1970 a LC steering committee developed procedures and cost estimates in the light of the Library's commitments and, with representatives of the sub-committee, AAP, and CLR, related these to the realities of publisher schedules. One question was whether the set of cataloguing elements finally agreed upon as satisfying the needs of the recipient could be taken from a proof earlier than the paged proof used in the CIS programme (which had necessitated the imposition of the

unbearable twentyfour-hour turnaround). The answer was, in most cases, yes. A late galley proof, supplemented by information such as blurb copy, would suffice. This gave the necessary leeway insofar as cataloguing deadlines were concerned. This and many other questions had to be answered before the next phase of the study was undertaken.

Next, two questionnaires were administered by mail. The first of these disclosed that, of a random sample of 391 librarians in eighteen categories, 65 percent were enthusiastic about the prospect of a new pre-publication cataloging programme; 32 percent would view such a programme "with interest", 2 percent "with indifference", and 1 percent "with disfavour". These results, which are interesting in that the total favourable response is the same as for the CIS survey, were reported at the ALA annual conference in Detroit on 1 July 1970.

The second questionnaire, ascertaining the willingness of publishers to participate, in principle, was mailed in late August 1970. Two weeks later, a meeting sponsored by the Association of American Publishers was held in New York, where representatives of publishing houses were acquainted with details of the proposed programme and their questions answered. As a result, approximately 100 publishers expressed their willingness to co-operate, in principle, in a new pre-publication cataloguing programme.[1]

The willingness of publishers to participate in the new CIP programme, especially at a time when the industry's economic future was seen by many as less than encouraging, stems at least in part from the realization

[1] An account of the experience of one of the first publishers to participate in the CIP Program, University of Washington Press, is given by Naomi Pascal in an article entitled "Learning to Live With CIP", Scholarly Publishing, October 1973, pp. 17-28.

that the fortunes of American publishers and libraries are inextricably linked and that this is a bond cemented by federal government funding as provided under Title II of the Elementary and Secondary Education Act. Libraries constitute a large customer group (sales to libraries have been estimated at over 20 percent of non-textbook sales or about 14 percent of all book sales[1]) and anything that promises to protect the book-purchasing segment of libraries' budgets, in the face of inflation and threatened federal grants cuts, is in publishers' interests.

On 9 October 1970 the CLR consultant submitted a report to the Librarian of Congress stating that satisfactory answers to the questions formulated in the earlier report of February that year were in hand. The stage was set. On 22 October Mumford proposed a pilot project for what was to be known as Cataloging in Publication (CIP), to be supported for two years by grant funds. Unlike CIS which was an experiment from the outset, the pilot project would then become an integral part of LC's regular bibliographic activities.

A grant of $400,000 made available jointly by the Council on Library Resources and the National Endowment for the Humanities, together with the promise of additional financial support from the National Science Foundation and the U.S. Office of Education, enabled the Librarian of Congress to announce, on 20 June 1971, the commencement of the CIP pilot programme.

On 1 July 1971 LC initiated a project having as its aim the provision of CIP entries for most of the American book trade output by the end of the initial phase in 1973. This output was estimated at 30,000 to 36,000 titles per annum.

[1] Chandler B. Grannis, "Cuts in Federal Library Funds Are Causing Publishers to Diet - But Not So Far, to Starve", Publishers Weekly, v. 203 no. 23 (4 June 1973), p. 46.

Scope

Within the scope of the CIP Program are all United States trade and academic monographic publications, including multivolume monographs and new or revised editions of earlier, published works. Also treated are translations into Spanish issued by United States publishers, for the benefit of the Spanish-speaking American population segment, and compilations of serial articles brought together in one volume as a collection.

At time of writing, the programme is not geared to handle non-book materials, although it is hoped that routines will be set up in the future to handle audio-visual materials and collections of music.[1] Sheet music will probably continue to be excluded due to the Library's cataloguing policies for sheet music, much of which does not receive full cataloguing. Microfiche is treated when the publication so issued is a monographic work.

At June 1974, selected federal government documents were being phased into the program, with some 14 agencies participating.[2] There is a possibility of expansion to include selected state and local documents at some later date, as funding and staff permit.

Notwithstanding the recent inclusion of federal government documents, top priority is, and will continue to be, given to achieving as close as possible to total coverage of the current U.S. trade and academic publisher output.

The following materials are excluded:

1) Serials, including periodicals, annuals, and other forms issued regularly under a uniform title with only the dates

[1]Letter from William A. Gosling, Program Manager CIP, 27 June 1974.

[2]At August 1974, 16 federal government agencies were participating.

or numeric issue designators changing from one issue to the next;

2) New impressions or new printings for publisher's stock;

3) Books paid for or subsidized by individual authors;

4) Religious education materials for Bible classes at all grade levels, vacation Bible schools, confirmation studies, etc.;

5) Inexpensive editions and titles designed for sale through retail outlets such as drug stores, supermarkets, etc.;

6) Expendable educational materials such as laboratory manuals, teachers' manuals, programmed instruction test sheets, workbooks, etc.;

7) Specialized publications of a transitory nature such as trade catalogs, telephone books, calendars, coloring books, comic books, cut out books, etc.;

8) Translations from English into a foreign language;

9) Books printed abroad but imported for exclusive jobbing for the American market. (Note, however, that co-published books are in scope so long as a U.S. imprint appears on the title page of the books, either singly or jointly with the co-publisher);

10) Mass market paperback reprints;

11) Single articles reprinted from periodicals and other serials.

In defining the scope of the programme, it is necessary also to establish what is meant by United States imprints because of titles which cross international lines. This is particularly important in view of the need for co-ordination of other national programmes already operational and in the process of being established.

Agreement between the U.S., Australia, and Brazil has resulted in the following guidelines,[1] the key to which lies in the imprint as it appears in the book:

[1] Letter from William A. Gosling, Program Manager CIP, 13 June 1974.

1. All titles produced within a national jurisdiction fall under the scope of the program in that country if they carry an imprint on the title page of a publisher located there. Therefore, if a U.S. publisher's book were produced in England but carried only the U.S. imprint on the title page, it would fall under the U.S. CIP programme.

2. For multiple cities listed under one firm name, e.g., John Wiley, Ltd., London, New York, the first named city would determine which program would process the title - in this example the British one, where programmes are operational in both countries.

3. Dual imprints which represent firms in two separate countries, e.g., Butterworths, London/University Park Press, Baltimore, mean the one book is intended for two markets. Therefore, two sets of data would be required, one produced by the respective programmes for each publisher as a service to librarians in the respective countries.

Administration

The CIP Office is a small organizational unit established to administer the logistics of the CIP Program, co-ordinate its daily operations, and act as a focal point for communicating with participating publishers. There is no special CIP cataloguing unit; each title is processed by the regular cataloguers in the Library's Processing Department.

As a liaison agent and co-ordinator between the cataloguing staff and the publishers, the office has the following functions:

Organizational

1. Establish initial contact with publishers and distribute publicity matter such as CIP literature, CIP copy, etc.;

2. Induct new publishers;

3. Supply CIP stationery;

4. Maintain the mailing list for information vehicles;

5. Answer operational queries;

6. Ensure maintenance of the 10 working days in-house turnaround time;

7. Receive and disseminate feedback on the system received from publishers and users;

8. Liaise with cataloguing in publication agencies in other countries;

9. In all the above, act as a centralized communication point in the Library.

Operational

10. Prepare galley material and final books for easier handling by the cataloguers;

11. Copy galley material for biomedical titles and despatch to the National Library of Medicine for NLM subject analysis and inclusion in that library's Current Cataloging Proofsheets;

12. Pass galley material for distribution to the cataloguers;

13. Pre-assign LC card numbers for CIP and non-CIP titles;

14. Prepare data from the manuscript catalogue card draft sheet for despatch to the publisher;

15. Replace, from the files, CIP data reported by publishers as not received;

16. Operate the follow-up system for ensuring receipt of one copy of the completed book.

A staff of sixteen is responsible for the operation of the CIP Office. This number comprises the Program Manager, an Assistant Program Manager, seven clerical assistants, and seven clerk typists.

In addition to the CIP Office staff, the staffing of the Processing Department was increased to handle the extra workload generated by the CIP operation. The following positions were added:

Professional

4 descriptive cataloguers

2 subject cataloguers

2 decimal classifiers

Non-professional

2 shelflisters

2 MARC Editorial Division input typists

This additional staff is reported to be adequate to enable the Library to process, within the turnaround time required, as many as 450 CIP titles per week.

Funding

The funding of the CIP Program is now established with the budget of the Library of Congress. In fiscal 1974 the sum of $292,487 was allocated for 29 positions, including those cited above and the CIP Office personnel, and for support costs including eight and one half percent of the total for personnel benefits. No accurate unit cost figure is available.

Communications with publishers

Clearly, if a cataloguing in publication programme were to work, effective lines of communication had to be established between the Library of Congress and publishers participating in the scheme. The role of the Association of American Publishers (AAP) in the establishment of the U.S. CIP Program was referred to above in the outline of the history of the scheme. Equally important is the continuing role of the AAP as an effective liaison agent between LC and publishers. The realization of the importance of establishing and maintaining effective communications between the CIP Office and publishing houses has been a keynote of the American programme.

In the first instance, publishers are contacted by the CIP Office, usually by sending a package of CIP literature. This material includes a publisher's response form (Appendix I) on which the recipient is invited to

indicate his willingness to participate in the Program and the date this participation can be expected to commence. To facilitate rapid and smooth communications for the follow-up, as well as for subsequent operations, a person can be designated at this stage to act as the CIP contact in that publishing house.

When the completed response form is received, the CIP Office staff contact the publisher by telephone, or visit if convenient, to clarify any points regarding operational details and to request the publisher to begin submitting titles for processing. At the same time the publisher's name is added to the CIP Program mailing list for new procedure instructions and regular progress reports. Comprehensive instructions are given in the Program's "Information for Participating Publishers".

Publishers are kept abreast of policy, procedures, and progress through two publications, "Notes on Cataloging in Publication" and the Cataloging in Publication Progress Report. The latter appears twice a year and includes, as well as information on the progress of the programme, a list of publishing houses and their divisions participating actively in the LC CIP Program at the time of issue. Also included is a select bibliography of articles on cataloguing in publication.

A regularly circulated publication of some sort is undoubtedly valuable. It can be a vehicle for information necessary to the effective operation of the programme and can carry such specifics as reinforcement statements on procedures or notifications of changes in procedures. But perhaps more importantly, such a communication can contribute towards ensuring continued support from publishers, and librarians. It is all too easy for a venture to be begun with enthusiasm, at best, or at least acceptance, only to peter out because of the lack of any continuing

motivation or encouragement. There is a need for constant contact between the bibliographic agency administrating the CIP programme and the publishers contributing to it, if only to reassure publishers that an increasing number of their fellows are also participating.

Communications with librarians

However important effective lines of communication with publishers are, they are only one side of the picture. The experience of the U.S. programme has shown that, as the programme grew, so did the need to communicate with the library community. Librarians must be aware of the existence of the data and of how to utilize it to meet their own, often individual, needs. Only in this way will the full benefits in terms of savings in resources on a national scale be realized.

To this end, a series of regional workshops on the CIP Program is envisaged. The first of such a series was held in New Jersey in March 1974, at the Rutgers University Graduate School of Library Services. Part of this workshop was devoted to receiving reports from a variety of libraries on their experiences in using CIP data.

At the Midwinter meeting of the American Library Association in January 1974, William J. Welsh of the Library of Congress requested that a survey be made of the effectiveness and usefulness of the programme. Accordingly, on 8 March a questionnaire was sent to 305 libraries and eight processing centres. The total response to the questionnaire was 59 percent[1] and, in general, the results suggested that the Library of Congress still has much to do in educating librarians to make full and effective use of

[1] For the results of this survey the writer is indebted to Mrs Connie R. Dunlap of the University of Michigan Library, who made available her report of the survey.

CIP. Interestingly, it appeared that relatively few librarians had seen the connection between CIP and the more rapid availability of final LC printed cards - a lack which can be overcome by increased use education as is being planned by the Library of Congress. As well as providing valuable feedback - particularly with regard to the need for standardization in the format and typographical style of the CIP data in the book - the survey showed that much of the dissatisfaction of respondents with the programme to date stemmed from a lack of understanding of the scope of the programme and indicated that fundamental changes in established routines will need to be made by libraries as the flow of CIP titles increases if they are to reap the full benefits of the scheme.

Copy submitted

In cases where the production cycle goes through a galley proof stage, publishers submit the galley proofs[1] of their forthcoming books, together with available front matter such as title page, copyright page (verso of title page), contents list, preface, introduction, etc., and any other available descriptive matter. Accompanying this material are the completed data sheets which complement the foregoing.

The decision to catalogue from the galley proof was taken because of the necessity to relieve the pressure on the Library of Congress' cataloguers by giving them a full 10 working days from receipt of material for provision of the CIP data. The 24 hour turnaround time that had proved untenable in the CIS experiment was not to be repeated. If such a working

[1] At time of writing, the CIP Office is investigating what impact the use of front matter and a data sheet only would have on the successful operation of the CIP Program. It is estimated that about one third of titles processed are currently catalogued from front matter and related information only. If a cataloguer has a specific question there is no hesitation in placing a call to the publishing firm for clarification or amplification. As more and more publishers drop galleys from their production cycles, LC may have to adjust its system to work from front matter only.

space were to be allowed LC, however, the stage at which processing took place had to be one early enough so as not to disrupt the publisher's production cycle.

In practice, the decision is considered by LC to be the right one. Not only does it take the pressure off the cataloguers but it allows the publisher more latitude in typographical design in inserting the data in the book. In addition, this should mean time for authors to review the CIP data and veto the inclusion of their birthdates or real names if writing under pseudonyms.

The following list, taken from the Library of Congress' Information for Participating Publishers, dated October 1973, itemizes the material required by the Processing Department:

1. One non-returnable galley, at the earliest possible date;

2. The first three copies of the completed LC Cataloging Data Sheet No. 1-2 (Appendix I) (to be sent in the same package as the galley) The fourth copy should be retained for the publisher's records;

3. Copy for the half title page, title page, copyright page, and table of contents; if not typeset, typewritten manuscript or photocopy is acceptable. All information should be in the format of the bound book and as close to final form as possible;

4. Preface and/or introduction in galley or manuscript form, if available;

5. Copy of any available descriptive literature, including jacket copy, advance book information, sales catalog and/or advertising copy;

6. Author's biographical form, if available;

7. One set of folded and gathered sheets containing the CIP data if available one week or more before the completed book;

8. One advance complimentary copy of the completed book. This copy is in lieu of the copy formerly sent to the Card Division.

Of course, it was realized that some publishers do not go through a galley proof stage in their production cycle, although the modern printing

technology which has rendered the galley proof obsolete applies to only a minority of books published today, even including scholarly reprints which are currently numerous.

In cases where a full galley is not available or the galley stage is omitted, items 2 to 8, above, are required with item 4 essential.

Finally, in the case of photo-offset reprints, publishers are instructed to send to LC:

1. Copy of the original half title page, title page, copyright page and table of contents;

2. Typewritten manuscript or photocopy of the new half title page, title page and copyright page which will serve as new front matter for the reprint edition showing new imprint;

3. The first three copies of the completed LC Cataloging Data Sheet No. 3 (Appendix I) (to be sent in the same package as the front matter). The fourth copy should be retained for the publisher's records;

4. Copy of any new matter to be included in the reprint edition; e.g., new preface, introduction, etc.

5. One set of folded and gathered sheets containing the CIP data if available <u>one week or more</u> before the completed book.

6. One advance complimentary copy of the completed book. This copy is in lieu of the copy formerly sent to the Card Division.

The publisher's obligation does not end with his despatch to LC of copy according to the above conditions and his printing the CIP entry in the book. After incorporation of the CIP data he must send one copy of the folded and gathered sheets (unbound gatherings), if they are prepared one week or more before the bound book, and one complimentary pre-publication copy of the bound book.[1] This enables verification and updating of the CIP data for the final printed LC catalogue card. The preliminary record on the MARC-CIP tape is also updated at this stage and redistributed as a completed MARC II record.

[1]Not to be confused with the two copies required by law for Copyright Office use.

Non-compliance with these requirements can have serious repercussions. When LC CIP data and pre-assigned card numbers appear in books, purchasing libraries rightly presume that the catalogue cards referenced are available from LC. However, if the CIP Office has received neither folded and gathered pages nor bound books, the cataloging will not have been completed and no cards will have been printed. In such cases, not only is the advantage of earlier availability of catalogue cards lost, but the Card Division is taxed by the ordering of non-existent cards.

Logistics

All materials submitted by participating publishers are sent to the Library of Congress via postage-paid, special delivery mailing labels provided by the Library (Appendix I). These slips are addressed to the Descriptive Cataloging Division, thus precluding misrouting within the institution. The CIP data are despatched to the publisher within 10 working days of receipt of the material from the publisher. The galley proofs are not returned to the publisher.

Galleys, where submitted, are physically processed for easy handling within the Library and distributed to the cataloguers. Galley proofs for biomedical titles are photocopied and the copies sent to the National Library of Medicine at the same time as the original is distributed to the LC cataloguers.

System

Before galley material received by the CIP Office enters the Library of Congress cataloguing mainstream it is processed physically for

easier handling by the cataloguers. Galley material for biomedical titles is photocopied and the copies despatched to the National Library of Medicine for assignment of NLM subject headings and classification numbers.[1] These subject data are forwarded to the Library of Congress and included on the CIP data sent to the publisher.[2]

The second and third copies of the multiple copy CIP data sheet completed by the publisher are filed by publisher's name and date of receipt, respectively. The third copy is used as a follow-up to ensure that the ten working days' summary time allowed for CIP processing has been maintained. Both copies are discarded when the galley has gone through the entire cataloguing system.

With priority one/CIP slips attached, the packages comprising galley material and data sheets are forwarded to the cataloguing divisions of the Processing Department, where they are distributed to the appropriate cataloguers.

Draft cataloguing data are entered on the manuscript worksheet (Appendix I), which accompanies the galley material throughout its handling by descriptive cataloguer, subject cataloguer, shelflister, and decimal classifier. Again it should be noted that these are regular LC cataloguing staff; there is no special CIP cataloguing unit.

[1] In May 1972 the Library of Congress and the National Library of Medicine signed a Memorandum of Agreement for a co-operative project in cataloguing in publication to provide NLM-CIP data geared to the needs of specialist librarians concerned with the cataloguing of medical titles.

[2] In addition to providing subject descriptors for printing in the book, the twice-weekly listing of new titles co-operatively catalogued with LC in NLM's Current Cataloging Proofsheets, together with the inclusion of the MARC-CIP record in the MARC distribution system, widens the concept of the American programme from one of cataloguing in publication to one of cataloguing in advance of publication. Publishers Weekly, in its Weekly Record section, lists CIP entries not more than two months prior to publication of the books.

The LC card number is assigned by the CIP Office unless the presence of a number on the CIP data sheet indicates that a number has been pre-assigned.

From the cataloguing information on the manuscript worksheet, CIP Office staff type and despatch the publisher advice form (Appendix I). This form gives the CIP data which are to be printed in the book. A copy of the form is attached to the first copy of the CIP data sheet submitted in the first instance by the publisher with the galley material and filed for one year. This is for pre-publication copy follow-up and replacement of missing or lost CIP data on demand. If the CIP Office has not received a complimentary copy of the completed book within one month after the projected publication data given on the data sheet, a notice is sent seeking more information.

At this stage cataloguing data are entered onto the MARC data base and distributed as MARC-CIP records. Unlike the CIP entry sent to the publisher for printing in the book, this MARC record contains full cataloguing data with the exception of the collation line. This is added when the folded and gathered sheets, or the pre-publication copy, of the completed book are received.

When received, the folded and gathered sheets, or the pre-publication copy if the sheets are not available one week or more before the completed book, are matched with the cataloguer's manuscript worksheet and forwarded to paraprofessional staff in the Descriptive Cataloging Division. These technicians, who are trained to make minor corrections if needed, verify the worksheet against the book in hand and add the elements necessary to complete the cataloguing - often only the collation line. When the entry is complete, the completed worksheet provides copy for the printing of the final LC catalogue card. The MARC-CIP record is updated or corrected to a full, final bibliographic record, and redistributed. The book is forwarded for labelling.

Elements of the entry

The CIP entry includes the following data elements:

1. Main (author) entry
2. Brief identifying title (usually just the main title)
3. Series statement
4. Bibliographical notes
5. Library of Congress subject headings
6. National Library of Medicine subject headings
7. Added entries
8. Library of Congress classification number and author number
9. National Library of Medicine classification number
10. Dewey Decimal Classification number
11. Superintendent of Documents (SUDOCS) number
12. Library of Congress catalogue card number
13. International Standard Book Number(s) (ISBN)

The decision to omit certain elements in the body of the entry, such as subtitle, imprint, etc., and in particular the collation line was taken in the light of the experience gained from the Cataloguing in Source (CIS) experiment.[1] The majority of "errors" printed in CIS titles occurred in those elements which proved most subject to change during the interval between pre-publication cataloguing and printing of the book, at which stage it was too late for rectification. The catalogue entry, correct or incorrect, was locked into the book - an embarrassment in perpetuity. For example, a title scheduled for publication late in November or December may not be published until January or February. In the imprint of a catalogue entry this registers as a difference of a year. Similarly, pagination and size

[1] A brief account of CIS is given earlier in this chapter.

can be subject to change.

However, these are the very elements which do not require professional training to add. From the book in hand, a library technician or para-professional can easily, within the constraints of conventional guidelines, complete the catalogue entry. Little expertise is required to derive pagination or place of publication and to add these to the existing CIP data. The difficult aspects of cataloguing which require professional expertise and which should reflect as high a degree of conformity to national or international bibliographic standards as possible are precisely those elements which are least likely to change in the course of preparation. These are the data which must be supplied by a centralized cataloguing scheme if economies in the utilization of resources on a national and international scale are to realized.

An example of a CIP entry printed on the verso of the title page is given in Appendix I. The example is accompanied by the final printed Library of Congress catalogue card for the same title.

Let us now examine in some detail certain elements of the CIP entry.

1. Main entry (when a personal author)

   Name headings are in the form established by the Library of Congress. Where the author's birthdate is required, under the "no-conflict" rule adopted by the Library in 1962, this will be included in the heading supplied. However, publishers may, if an author indicates unwillingness to have his date of birth made public to his readers (few of whom are likely to give a glance to the verso of the title page anyway) omit the birthdate and substitute the word "date". This substitution indicates to the cataloguer/technician that the final LC printed

card will include the actual date. For example, the heading which appears in the book will be in the form,

Smith, John, date

The printed card will bear

Smith, John, 1918-

In the case of pseudonyously published books, if the author's real name has been used in the CIP data - either as a main or added entry - and either the publisher or the author prefers that this real name not be revealed, the publisher may, at his discretion, omit the name, substituting a long dash to indicate the omission. Again, the printed card will use the real name.

2. Title

This is usually a brief title sufficient for identification purposes. Unless the subtitle is needed to clarify the main title, for example, John Henry: a biography, it is omitted for two basic reasons. First, it is advantageous to save space on the verso of the title page (the copyright page); there is often already a plethora of information printed there. Secondly, the subtitle constitutes yet another element exposed to the risk of change during the period between cataloguing and publication. For example, Peter J. Wilson's Oscar: an inquiry in the nature of sanity was published with a CIP entry in which the title appears as Oscar: a man of the eighth variety. This was a case where the subtitle had been included to amplify the primary title.

3. Series statement

The series statement should give the series title in the form in which it appears in the book. This form may or may not be

the same as that established where the series is to be listed (that is, accessed by a series added entry). There is risk of variation since correctness depends upon typography as much as a conscious decision on the part of the publisher to change or drop the series.

4. Bibliographical notes

The CIP date will contain blanks in order to allow for the pagination which will be added by the cataloguer/technician from the book in hand. For example,

Bibliography: p. .

Clearly, the experience of the CIS experiment is, rightly, at work in the omission of all quantitative data, both here and in the case of the absent collation line. Publishers are required to leave these spaces blank even though the final pagination may be known.

Also incomplete is the contents note, in the case of a multivolume monograph. Only the first three elements are provided, followed by "[etc.]". This notation is considered sufficient to suggest the style of the contents note for the cataloguer/technician, who can then complete the data from the book in hand.

5. Library of Congress subject headings

The CIP data carries the full, established LCSH. Unless major changes have occurred, these data will be exactly the same as those on the printed LC card when available.

The provision of authoritative subject data integral with the book is one of the most important contributions of the CIP Program to meeting the needs of libraries by supplying librarians

with standardized and professionally prepared cataloguing information which they cannot easily generate themselves.

6. National Library of Medicine subject headings and classification number

NLM subject data are exclusively geared to biomedical titles and are used extensively by specialized librarians in the United States. These data are supplied by NLM under a co-operative project in cataloguing in publication. Over 70 percent of the American medical book publishers are now participating in the programme.

7. Superintendent of Documents (SUDOCS) number

Wherever possible, CIP data for U.S. federal government publications will include the SUDOCS number as an aid to librarians who file their documents by these numbers. The number appears as a note in the CIP data.

8. Library of Congress catalogue card number

The Library of Congress offers two options to United States publishers regarding pre-assigned card numbers: (a) numbers may be requested from the CIP Office for use in advertising and sales catalogues or for titles which, for any reason, cannot be included in the CIP Program; (b) publishers may discontinue requesting numbers for CIP in-scope titles; numbers will be assigned automatically by the CIP Office and returned as part of the CIP data. The Library recommends the second of these options. This is another example of the centralized approach, where the CIP Office functions as a focal point for all interaction between CIP participants and the Library. Non-participating publishers continued to apply to the Card Division for pre-assigned card numbers, until 1 July 1974, when this function was also transferred to the CIP Office.

The earlier practice of supplying participating publishers with complimentary sets of the LC printed cards for CIP titles has been phased out. Publishers requiring these cards must now purchase them from the Card Division.

9. International Standard Book Number (ISBN)

The ISBN is included in the MARC system and can be used by librarians in pre-publication ordering operations. For this reason, and others, it is essential that it be correct. Where a book is available in more than one format, the only difference being the binding, the ISBN for each variant will be included in the CIP data. Identification, abbreviated when possible, will follow each ISBN except that for the trade edition, which will remain unqualified. For example, the ISBN for the paperback edition will be qualified by "pbk.". In the case of a multivolume monograph, the ISBN for only the first volume will be supplied by the CIP Office. Publishers may add the ISBN for subsequent volumes when they print the entry.

Descriptive cataloguing

LC CIP entries are prepared in accord with the rules for main entry and description laid down in the Anglo-American Cataloguing Rules (North American Text) (AACR)[1] and its amendments as approved by the American Library Association's Descriptive Cataloging Committee and the Library of Congress.[2]

[1] Anglo-American Cataloging Rules, Prepared by the American Library Association, the Library of Congress, the Library Association, and the Canadian Library Association. North American Text with Supplement of Additions and Changes. [General editor: C. Sumner Spalding] Chicago, American Library Association [1970].

[2] These additions and changes are notified in the Library of Congress' Cataloging Service (ISSN 0041-7890).

Chapter Six of the code, which chapter deals with the descriptive elements of the catalogue record, has been revised to incorporate the international standard, International Standard Bibliographic Description for Monographic Publications (ISBD(M)).[1] This standard was adopted for LC CIP entries in September 1974. With its adoption, the punctuation separating the elements of the CIP entry have been changed. These changes will, however, be much more noticeably reflected in the printed catalogue cards and the MARC records.

Mention should be made here of the Library of Congress' policy of superimposition. With one exception, the Library of Congress does not apply Part I of AACR fully, having decided to "superimpose" the new code on its existing catalogue by perpetuating certain choices of main entry headings, and forms of names previously established according to an older code. The exception is a result of the flexibility and willingness to compromise achieved in the Library's relations with publishers. Many publishers felt that, for various reasons, they should avoid revealing the real name of an author writing under a pseudonym. To this end, the heading for a living author already established under his real name, in line with the superseded A.L.A. Cataloging Rules, would be changed to the pseudonym if authorized by AACR, earlier entries being reprinted. In cases where the real name is required under AACR, that name will be used in the CIP data, and on the printed LC card, but may be omitted at the publisher's discretion from the entry printed in the book. A long dash is used to indicate the omission, alerting librarians to the fact that the LC card will carry the real name.

Subject cataloguing

Subject data included in the CIP entry comprise all or some of the following:

[1] International Federation of Library Associations. ISBD(M) - International Standard Bibliographic Description for Monographic Publications, London, IFLA. 1974.

a) Library of Congress subject headings as codified in the seventh edition of Subject Headings Used in the Dictionary Catalogs of the Library of Congress and its supplements;

b) Library of Congress classification number and author numbers;

c) Dewey Decimal Classification number (latest edition);

d) National Library of Medicine subject headings;

e) National Library of Medicine classification number.

The NLM subject headings and classification number when present in the CIP entry are enclosed in square brackets to separate them from the LC subject data.

Printing the CIP entry

It is recommended that the CIP entry be printed on the verso of the title page (the copyright page in American usage) and be preceded by the statement "Library of Congress Cataloging in Publication Data." The printing of this statement is now ever more important in view of the establishment of programmes in other English-speaking countries.[1]

Of the utmost importance is the printing of the data elements in exactly the same form and sequence and with the same punctuation as appears on the copy supplied by the CIP Office. The CIP entry is not open to design experimentation.

As mentioned earlier, certain conventions have been adopted by the Library of Congress to save space on what is, in many cases, an already crowded part of the book. These include the omission of the subtitle (unless it is needed to clarify the main title) and contents note elements exceeding three.

Publishers are encouraged to write or call the CIP Office if any doubts exist pertaining to the printing of the data or if any element has

[1] The Australian CIP programme requires the printing of the statement "National Library of Australia Cataloguing in Publication Data" above the data in order to indicate clearly the source of the cataloguing information.

changed since the submission of the galley material.

Use of CIP data by libraries

The following account is based wholly on information contained in the report of the CIP survey made in March 1974, at the request of William J. Welsh of the Library of Congress, by Mrs Connie R. Dunlap, Director of the Graduate Library, University of Michigan.[1]

Of the 305 libraries and eight processing centres to which the survey questionnaire was sent, 59 percent responded. Broken down by type of library - with response rates in parentheses - the sample represented:

91	Association of Research Libraries (ARL) members (except the Library of Congress and the Center for Research Libraries)	(75%)
66	Public libraries	(74%)
51	Special libraries	(43%)
47	State libraries	(70%)
50	State school library agencies	(26%)
8	Processing centres	(0%)

Notwithstanding the fact that the survey was made at a time when CIP titles in any quantity were only just starting to reach libraries, it is apparent from the result that CIP is having an appreciable impact on libraries. The number of respondents continuing to order LC cards for titles that contain CIP information dropped significantly. This is true

> "Even though some of this decrease is attributable to the use of depository cards in ARL libraries and to the use of computerized data banks such as those of the Ohio College Library Center (OCLC) and commercial processing centers. Another strong indicator is the number of libraries (sixty-seven percent) reporting actual use of the CIP data from the book.

[1] The text of the unpublished Cataloging in Publication : A Status Report, 1974, was made available to the writer by Mrs Dunlap. This report has since been published in Library Journal, 15 October 1974, pp. 2573-8, together with commentaries on the report by cataloguing heads of three libraries and the Director of Princeton University Press (pp. 2579-83).

> In estimating the percentage of new books containing CIP data received during the past three months, fifty-four percent of the ARL respondents clustered in the twenty to forty percentiles...; sixty-seven percent of the public libraries replying received between twenty and thirty percent CIP titles; sixty-three percent of the special libraries were grouped between twenty and forty-five percent; seventy-three percent of the state libraries received from twenty to fifty percent; and sixty-six percent of the school libraries reported that between sixty and eighty percent of the volumes received were covered by CIP. The median was in the thirtieth percentile."[1]

The use of CIP data prior to the availability of the book ranged from six to thirty-three percent. The most common uses of data at this time were book-selection, verification of pre-order searching, and identification of blanket order receipts.

Thirty-three percent of the libraries reported that the number of days required to process a book had decreased. Where figures were available - and few libraries had had cause prior to the recent influx of CIP titles to set up machinery for collecting relevant, accurate statistics - known cost savings ranged from a few hundred dollars a year to 30,000 dollars in one of the state libraries.

Almost all libraries stated that the selection of books was unaffected by the consideration of a publisher's participation in the CIP Program, although several libraries indicated that use of CIP publishers exclusively was a possibility.

Coverage

How successful has the U.S. CIP Program been in achieving its aims? Starting in July 1971 with 27 participating publishers, the programme by August 1974 had the co-operation of 770[2] publishers comprising 700 trade

[1] A Status Report, Library Journal, 15 October 1974, p. 2575.

[2] All figures quoted were supplied by William A. Gosling, Program Manager, CIP.

firms, 54 university presses, and 16 federal government agencies. The rate of growth of the programme can be gauged by comparing this total with the 1 April 1974 total of 614.

While this number appears a small part of the total U.S. publishers, estimated at between 4,000 and 4,300, it must be remembered that many of the latter are very small firms publishing perhaps one and two titles a year. In fact, excluding federal government documents, it is estimated that 70 to 75 percent of the eligible trade, university press, and scholarly reprint titles published in the U.S.[1] are now covered by the CIP Program.

The number of CIP titles catalogued by the Library of Congress in calendar 1973 was 14,885 and that for calendar 1974 is projected at 20,000. At the end of August 1974 some 39,821 titles had been processed since the beginning of the programme. Of these, an estimated 31,000 have appeared on the market.

[1]The number of eligible titles published is difficult to assess. Publishers Weekly (4 February 1974, pp. 55-58) gives a total of 39,951 new books and new editions for calendar 1973. To this would have to be added the several thousand doctoral dissertations and masters theses published each year, vanity press items, pamphlets, and much more for a complete national publishing output. At the same time, many of the above items are not in-scope, e.g. mass market paperbacks, pamphlets, annuals, and audio-visual materials.

CHAPTER 2

AUSTRALIA

Background

The Australian CIP programme now operating began in May 1974. However, cataloguing in publication in Australia has a history which goes back to 1945. In order to see the present scheme in perspective and in relationship to the publishing environment and to central cataloguing services in general, the earlier experiments warrant examination.

From 1945 to 1950 the Commonwealth National Library, later to become the National Library of Australia, catalogued from proof copies all books published by the firm of Angus and Robertson. The proofs were returned with a typewritten catalogue card which the publisher printed and distributed to all libraries requesting copies or belonging to the regular subscription service. The demand for this central cataloguing data was such that by 1948 249 libraries, including 115 overseas, were subscribers. In 1950 cataloguing from books was substituted because of continuing delays in receiving proofs. The scheme finally died in 1953, by mutual consent, in the face of increasing post-war printing costs, deteriorating quality of the cards, and failing demand for the service.

Indicative of the recurring interest in CIP, not only in Australia but elsewhere - which must surely point to some basic soundness of the proposition - was the next Australian venture, an experiment in CIP, on a smaller, local scale this time. In a nine-month period over 1953-54 the Melbourne University Library catalogued books to be published by the Melbourne firm, Cheshire. Only eleven titles were catalogued. The entry on the verso of the title page was considered by the publisher aesthetically objectionable,

and this factor (which was also raised by American publishers during the 1958-59 CIS experiment), plus time-lags incurred in routing the final proofs from a Sydney printer to Melbourne and the complete indifference of librarians, made the demise of this project inevitable.

The Cataloging in Source (CIS) experiment carried out by the Library of Congress during 1958-59 generated new interest in CIP in Australia. So much so, that in 1962 the National Library resumed discussions with Angus and Robertson, and Mr G. Ferguson of that firm agreed to raise the issue of CIP at the Conference of the Australian Book Publishers' Association. In many ways, the history of co-operation between the publishing and library communities in Australia parallels that which marked the introduction, and contributed so largely to the success, of CIP in the United States.

By 1963 several leading publishers had expressed agreement in principle and the National Librarian was invited to address the April Conference of the ABPA. A favorable response led to the commencement of detailed planning in July 1963, when it was decided that three provisos existed for success:

1. One hundred percent, or close, co-operation from publishers would be required;
2. Cataloguing would have to be standard;
3. The National Library would have to demonstrate that problems similar to those encountered by the Library of Congress could be met and solved.

Nothing significant happened until April 1965, when CIP was discussed at that year's ABPA Conference. A committee, involving representatives of Oxford University Press and the Australian National University Press, was formed to examine the project with staff of the National Library. The detailed examination in May 1965 led to the conclusion that publisher co-operation might be expected if two considerations were met:

1. A compromise in cataloguing standards;

2. The availability of proof that CIP was acceptable to, and would be used by, Australian libraries.

In 1965 the cost of a two-year project was estimated at $22,000, covering the output of some 56 commercial publishers and 51 others (government printers, institutions, private, etc.). The total Australian publishing output of monograph titles was estimated at that time at 3,200.

Events were moving quickly. In July 1965 the National Library's interest in CIP was reported to the Standing Committee of the Australian Advisory Council on Bibliographical Services (AACOBS), which committee recommended that a seminar be conducted at which all major Australian libraries be represented to discuss CIP in relation to centralized cataloguing in general. The proposal was approved by AACOBS and the seminar planned for May 1966.

In November 1965 the then Principal Librarian of the Bibliographical Services Division of the National Library, John Balnaves, had visited New York and Washington to investigate centralized cataloguing in general and CIP in particular. He had concluded that, while a CIP programme for Australia was feasible, libraries stood to gain more important, and guaranteed, advantages from Australian participation in the Title II shared cataloguing programme. Balnaves favored a limited CIP project covering federal government publications, but negotiations with the Government Printer were deferred more than once until the idea died in November 1968.

At the Seminar on Central Cataloguing, held in Canberra in May 1966, most librarians present expressed a preference for centrally-provided catalogue cards. Again the willingness of the ABPA to co-operate in meeting the bibliographic needs of Australian libraries was expressed. However, while the Seminar was not opposed to judicious experimentation, it agreed that CIP should take the lower priority in regard to other forms of centralized

cataloguing. Resolution 2 of the Report[1] recommended that CIP not be promoted by AACOBS for the time being.

Meanwhile, acting independently of national moves, the Sydney University Press printed CIP entries in its own books for a time, but stopped in 1967 because of difficulties encountered in fixing the final details of the books.

Notwithstanding its brief revival by Sydney University Press, CIP in Australia appeared dead. The main reasons for the lapse of interest were summarized in a report to the National Librarian in 1967:

1. Co-operation with the Library of Congress in shared cataloguing and pre-publication cataloguing and registry numbers were proceeding so well, and card services promised such advantages, that it would be a mistake to divert energies from proven programmes to experimental projects, viz. CIP;

2. The lack of interest in the United States;

3. The projected plan for a retrospective national bibliography.

Specifically, a CIP scheme was judged by the National Library as being not worthwhile for the following reasons:

1. Australian libraries were considered well served by the weekly, monthly, and annual publication of the Australian National Bibliography (ANB) and by the National Library's catalogue card service.

At that time, the turnaround time for the filling of orders was between 3 and 10 days; the deterioration of the service's response time, which, as demand increased, was as inevitable as that experienced by the Library of Congress, accounts in part for the re-assessment CIP as an answer to the problem of supplying timely central cataloguing data.

2. At that time, 14 Australian booksellers were co-operating in providing a "cards with books" service to libraries.

[1] Seminar on Central Cataloguing, Canberra, 1966. Report. Canberra, Australian Advisory Council on Bibliographical Services, 1966, p. 2.

3. It was considered that, in spite of the support of the ABPA, obtaining the full co-operation of commercial publishers would prove difficult.

This apprehension was fostered by the fact that some publishers did not even submit pre-publication, or advance, copies of books in time to make the Australian National Bibliography before the books were generally available. If publishers cannot be relied upon in the present system of centralized cataloguing, it was argued, what hope is there for a more complicated procedure such as CIP? Further, even with the best intentions, many publishers would find it difficult to obtain galley proofs from their printers.

4. Any such programme would find it impossible to ensure coverage of publications of non-commercial and infrequent publishers.

Since these constitute the smallest group of publishers of monographs (non-commercial publishers in Australia are prolific publishers of serials), this seems unconvincing as a reason for dismissing the advantage of the inclusion of the bulk of monographs published by commercial publishers.

5. The obligation of publishers to submit copies of books in two forms - galley for CIP and advance copy for shared cataloguing purposes - would introduce untoward complexities into relations between the National Library and publishers.

This obligation is at present being met without quibble.

6. The Library's Central Cataloguing Unit would carry the increased burden of having to produce two forms of cataloguing: one for return to the publisher (within 24 hours) and the other, when the pre or post-publication copy arrived, for ANB.

Added to this was the purely internal problem of the availability of staff resources to cope with a load extra to that already committed to participation in the Title II shared cataloguing programme, allocation of Standard Book Numbers, and the implementation of the ANB/MARC project. The last, the ANB/MARC system, has now of course eliminated the problem of producing two catalogue entries and has enabled full integration of CIP with

the national bibliographic services provided by the National Library of Australia, insofar as the pre-publication data appear in ANB well in advance of publication of the book and are then updated and entered again when the final book is in hand. At both stages, as a by-product of the system, a printed catalogue card and a machine readable record are produced for distribution.

> 7 Librarians in Australia, it was held, had never been enthusiastic about CIP; they preferred a catalogue card service. Perhaps, if inaccuracies were removed by cataloguing from galley proofs instead of earlier proof copy the newer concept would gain acceptance....

The current CIP programme does just this, and variance from the book as finally published should be minimal. Further, the two aids are not mutually exclusive; cards and CIP are natural companions in the framework of an automated bibliographic data base.

What was to be, in effect, the pilot project for the current Australian CIP programme was initiated by a publisher. In September 1972 the law book publishing house of Butterworths Pty Limited approached the National Library with a view to discussing the possibility of establishing a programme, along the lines of that operated by the Library of Congress, whereby the firm's publications would carry cataloguing data. Butterworths had always been conscientious in sending the National Library advance copies for pre-publication cataloguing for ANB and this approach was a further indication of the excellent relationship which existed between the firm and the National Library.

The pilot project with Butterworths began in November of the same year and it was agreed that the experimental period should last until June 1973. Galleys and CIP data would be returned within 48 hours of receipt and the CIP entry and the subsequent full entry would be listed in ANB. At this stage it was decided that, if Australian CIP entries were to be of maximum

benefit to Australian and overseas libraries, they must be fuller than those currently created by the Library of Congress. To this end, the following additional elements would be present: price, full title, author statement, edition statement, and imprint.

At the end of the experimental period, 21 CIP entries had been created and the average time elapsed between appearance of the CIP entry in ANB and publication of the book was five months. The programme was judged an unqualified success - contributed to largely by the continuing direct contact between Butterworths and the National Library, and Butterworths' enthusiasm. Work now began on the planning for a full, nationwide CIP programme for Australia.

Armed with the results of the pilot project, the National Library approached the Australian Book Publishers Association to enlist their help in obtaining the co-operation of their 70 members. Arthur Ellis, Director of the Library's Resources Organisation and Development Branch, was given the opportunity to address delegates to the ABPA's Annual Meeting, held in Canberra on 8 April 1974, on the subject of CIP. The proposal, putting forward the aims of the programme, met with a favorable reception. Clearly, the long-standing climate of co-operation between the Australian publishing community and the national bibliographic agency - the keynote of the American success also - would sustain an Australian CIP programme.

The experiences of the U.S. scheme and of the pilot project with Butterworths demonstrated the importance of establishing, and maintaining, close contact between publisher and library. With this in mind, personal visits by senior cataloguing personnel were made to interview the initial group of about 30 publishers, which had been selected on the basis of annual output and frequency of request through the Library's card service. (Such a selection ensured, at the outset, the greatest benefit to libraries.)

Following this first phase, other groups of publishers are being approached as those already inducted are satisfactorily absorbed into the programme.

Publishing in Australia

The period following the Second World War can be seen as one in which the Australian book publishing industry underwent rapid changes parallelling the country's accelerating rate of development into a modern nation. It is a period during which Australian books ceased to be so narrowly Australian as to inhibit their distribution in other countries - notably the United Kingdom and the United States.

The rate of increase in publishing output can be gauged from the figures below, taken from the statistical returns submitted by some Australian Book Publishing Association member firms.[1]

	1957	1971	1973[2]
Number of publishers submitting statistics	18	47	55
Number of new titles published	181	1,182	1,613

While these figures can in no way be taken as total national outputs, an approximate idea of the present extent of Australian publishing can be gained from the number of titles which appeared in the 1973 annual cumulation of the Australian National Bibliography:

Books	2,902
Pamphlets (5-48 pages)	1,886
Leaflets (1-4 pages)	110
Periodicals	259
Other serials (e.g. annuals, newspapers)	172
	5,329

[1] Accurate total publishing output is not available. The ABPA can make available only the production figures for those of its members who submit returns. In addition, all Australian publishers are not members of the ABPA.

[2] Australian Bookseller and Publisher, August 1974, p. 24.

Of these 5,329 titles, slightly more than half were published between one and three years earlier than 1973. This is offset by the fact that many 1973 imprints will not appear in ANB until 1974 and 1975, depending upon how promptly publishers deposit copies with the National Library.

The implementation of national bibliographic programmes, such as CIP, is facilitated in Australia by the existence of a body which can act as a point of contact between the library community and publishers, viz. the Australian Book Publishers Association. This group, formed in 1949, represents some 70 publishing houses. The support of the ABPA during the initial promotion phase of the Australian CIP programme was almost certainly contributory to its unanimous acceptance by the largest Australian publishers. To date, no publishing house has refused to participate, although some have not yet submitted galleys.

It could have been expected that production schedule considerations stemming from the increasing trend towards overseas printing[1] would have caused some publishers to voice reservations concerning the viability of active participation. In fact, this problem has not proved an obstacle of real moment to publishers so far approached.

Scope

Within the scope of the CIP programme are all Australian trade and academic monographic publications, including multivolume monographs, new or revised editions of earlier published works, and reprints or new impressions. Translations from English into foreign languages and works written in foreign

[1] Of the total 28,845,178 copies of new titles and reprints produced by ABPA member firms submitting statistical returns for 1973, only 8,411,725 were printed in Australia. (Figures are taken from Australian Bookseller and Publisher, August 1974, p. 24)

languages for the benefit of foreign-born Australian population segment are also included. In fact, all monographic titles eligible for inclusion in the Australian National Bibliography are eligible for CIP treatment.

Audio-visual materials, where eligible for inclusion in ANB, are included in the programme. From preliminary discussions, it appeared most beneficial to print CIP data for AV materials on the container or wrapper. In this position, data will be readily available to the librarian/technician for processing without recourse to the use of projection equipment, as would be necessary were the data included in, say, the first frame of the item. Also, in the case of packages which contain more than one element, printing the CIP data on the container involves only one printing.

In the case of reprints or new impressions, publishers are invited to submit a citation only so that a copy of the ANB entry previously prepared for the original printing can be supplied for printing in the book.

If books are co-published with U.S. publishers and are primarily handled in the U.S., then the Library of Congress CIP entry should be included. Agreement between the United States, Australia, and Brazil has resulted in the following guidelines:[1]

1. All titles produced within a national jurisdiction fall under the scope of the program in that country if they carry an imprint on the title page of a publisher located there. Therefore, if a U.S. publisher's book were produced in England, but carried only the U.S. imprint on the title page, it would fall under the U.S. CIP program.

2. For multiple cities listed under one firm name, e.g., John Wiley, Ltd., London, New York, the first named city would determine which program would process the title, in this example the British one.

[1]Letter from William A. Gosling, Program Manager, CIP, 13 June 1974.

3. Dual imprints which represent firms in two separate countries, e.g., Butterworths, London/University Park Press, Baltimore, mean the one book is intended for two markets. Therefore, two sets of data would be required, one produced by the respective programs for each publisher as a service to the librarians in the respective countries.

The following materials are excluded:

1. Serials, including periodicals, annuals, and other forms issued regularly under a uniform title with only the dates or numeric issue designators changing from one issue to the next;

2. Specialized publications which are not designed to be retained, such as catalogues, telephone directories, calendars, colouring books, or cut-out books;

3. Single articles reprinted from periodicals and serials.

It will be noted that the scope of the Australian CIP programme is somewhat wider than that of the American.

Administration

As is the case with the American programme, Australian CIP entries are prepared by regular cataloguing personnel. There is no special CIP unit; each title is catalogued by staff of the Central Cataloguing Unit, the sub-section of the Cataloguing Section of the National Library of Australia which produces the Australian National Bibliography.

At the outset it was realised that the success of the programme depended very much upon effective two-way communications between publishers and cataloguers. To this end, six senior cataloguers were allocated to conduct the induction interviews with publishers and to act thereafter as library contacts for the answering of operational queries. All correspondence, other than the routine return of cataloguing data, and telephone contact with a publisher is the responsibility of the officer who is assigned to that particular publisher. In this way, the impersonality of a large institution is broken down and responses are speeded.

The despatch of promotional material, stationery, progress news, etc. to participating publishers is also the responsibility of the liaison personnel. In the near future, as the programme expands, it is planned to assign this liaison function to one staff member only, on a full time basis. Additional support staff will be added as necessary.

The maintenance of files, mailing lists, and all typing is performed by regular clerical and typing staff.

The present output of approximately 60 titles per month is processed by ANB descriptive and subject cataloguers. Precataloguing - the checking of authority files and catalogues in advance of professional action - is performed by non-professional personnel.

The staff workload for an output of 60 titles per month is as follows:

Non-professional (precataloguing)

2 man/days

Para-professional (descriptive cataloguing)

4 man/days

Professional (subject cataloguing[1])

6 man/days

Communications with publishers

Apart from the pilot project involving the Australian law book publisher, Butterworths, referred to above in the outline of the history of the NLA CIP programme, what could probably be considered the initial approach to publishers in respect of cataloguing in publication was made at the

[1]Note: This figure includes the construction of the PRECIS (Preserved Context Indexing System) string(s) used in ANB, as well as the assignment of Library of Congress subject headings and Dewey Decimal Classification class number.

Australian Book Publishers Association annual general meeting in Canberra in early 1974. The ABPA gave the National Library an opportunity to put its case for CIP before representatives of a major segment of the Australian book publishing industry. The text of the address was distributed and provided a basis for subsequent discussions with individual publishers.

With the establishment of the programme, the main approach to publishers in the first instance is by letter, requesting an interview to discuss CIP. The letter is followed by a telephone call to arrange the meeting between the Library's representative and the publishing house's representative - wherever possible, an executive with authority to commit his firm - in the publisher's home city. In the course of the ensuing discussions the CIP officer explains the purpose of CIP, its operational details, and answers any questions that may be asked. A supply of stationery adequate to enable immediate participation is always carried by the CIP officer.

This personal contact, made at the initial stage and continued throughout the scheme's operation, is seen as an important ingredient for success. Communication, in the face of tight publication schedules, must be speedy and effective. The Library's switchboard or registry must not, as is so often the case in dealings with large organizations, become a barrier between publisher and cataloguer. The process is two-way. The cataloguer can contact directly the appropriate person in the publishing house should the necessity arise.

Publishers are kept abreast of developments and progress through the National Library's For Information sheets and an information newsletter, CIP News, addressed to participating publishers. The latter, the first issue of which appeared in August 1974, includes information on the routine operation of the system, procedures, answers to queries received which might be of interest to other participants, and a list of publishers co-operating in the programme.

Information on procedures, scope, printing of data, etc. is given in a publisher's manual which is supplied to participants upon enrolment.

Copy submitted

In cases where the production cycle goes through a galley proof stage, publishers submit the galley proofs of their forthcoming books, together with available front matter such as title page, copyright page, (verso of title page), contents list, preface, introduction, etc., and any other available descriptive matter. Accompanying this material is the completed data sheet (Appendix II), which complements the foregoing.

Of course, some publishers do not go through a galley proof stage in their production cycle. In cases where a full galley is not available or the galley stage is omitted, the following is required:

1. Front matter including half title page, title page, copyright page, and table of contents (unpaged); if not typeset, typewritten manuscript or photocopy is acceptable. All information should be in the format of the bound book and as close to final form as possible;
2. The completed CIP data sheet;
3. Preface and/or introduction in galley or manuscript form.

If the book is to be reproduced directly from the author's manuscript, a photocopy of this is acceptable. In cases where photocopies are supplied, it is acceptable if a large sample rather than the complete work is provided so long as an adequate description of the book as a whole, together with complete and accurate front matter, is included.

In the case of a reprint, the publisher is required to forward a citation so that the catalogue entry for the original printing can be extracted from the Australian National Bibliography or from the Library's own catalogues and sent to the publisher for printing in the reprint.

Publishers are asked to send, at their earliest convenience, an advance copy of the published book. Any advance copies sent discharge the publisher's legal deposit obligations under the Australian Copyright Act of 1968. Early receipt of the advance copy allows up-dating of the preliminary CIP entry, which has been input to the national bibliographic data base, sooner than waiting for the legal deposit copy. At this stage are added the variable elements omitted from the entry as printed in the book.

Logistics

Since galleys are returned to publishers after cataloguing, the time spent in transit is of some importance. In the interests of speed and reliability, all shipping is by commercial express freight. Publishers in cities within a five hundred mile radius of Canberra - such as Sydney and Melbourne - despatch, and receive, submitted galleys and data by surface transport. Brisbane and Adelaide publishers use airfreight. The cost is borne by the Library. In this way, with a guaranteed in-house turnaround time of three working days, no more than five days should elapse between the time a publisher despatches a galley package and the time he receives it back with the CIP entry. On the day the Library returns the galley it also mails a covering letter containing an additional copy of the CIP data.

To ensure prompt delivery to the correct work area and to preclude misrouting within the Library, publishers are supplied with special gummed address labels (Appendix II).

System

Galley material reaching the National Library of Australia is routed directly to the Cataloguing Section's Central Cataloguing Unit. This

initial internal delivery is assured of top priority by the CIP mailing label affixed to the package.

Immediately on receipt in the Unit, the title is entered into a register. This register records the title, the publisher, the date of receipt, and the date of despatch back to the publisher, and can be used as a follow-up to ensure that the three working days turnaround time is maintained.

The galley material and data sheets are passed to the appropriate cataloguers. Descriptive cataloguing data are entered on the manuscript ANB/MARC worksheet - the same worksheet used for non-CIP titles eligible for inclusion in the Australian National Bibliography. A subject analyst prepares the subject data package, which includes Library of Congress subject headings, Dewey Decimal Classification number, and PRECIS (Preserved Context Indexing System) string(s). ISBN are assigned to titles from publishers who are not self-assigning.

From the cataloguing information on the worksheet and the subject analysis cards, a publisher advice card and covering letter are typed. Both give the CIP data which are to be printed in the book. A copy of the letter is filed, under the publisher's name in a CIP master file. This copy is on hand for answering queries and for replacement of missing or lost CIP data. The card and the galley material are returned to the publisher by air or road express freight; the covering letter by post.

At this stage, cataloguing data are entered onto the Australian National Bibliography data base and are available as preliminary ANB/MARC records from the Australian MARC Record Service (AMRS), as well as appearing in ANB (example in Appendix II). The ANB/MARC system also produces a preliminary catalogue card (Appendix II) for distribution through the Australian Card Service. From these sources libraries gain ready access to authoritative bibliographic data, in a form suitable for their needs,

simultaneously with, or in advance of, their acquiring the book.

When the published book - either as advance copy or as legal deposit copy - is received, the CIP record is updated by adding the elements omitted and, if necessary, correcting any errors that have occurred. This updating results in the production of the final ANB entry (Appendix II), Australian MARC record, and printed catalogue card (Appendix II). The book is forwarded for adding to the Library's collection.

Elements of the entry

The NLA CIP entry includes the following data elements:

1. Main (author) entry
2. Title (including subtitle)
3. Author statement
4. Edition statement
5. Imprint
6. Series statement
7. Bibliographical notes
8. Library of Congress subject headings
9. Added entries
10. Dewey Decimal Classification number
11. International Standard Book Number (s) (ISBN(s)

As in the case of the LC CIP entry, the collation is omitted on the grounds that it constitutes an element most likely to be subject to change during the interval between pre-publication cataloguing and printing of the book. However, here the content similarities between U.S. and Australian systems ends. The Australian CIP entry tends to be fuller in respect of the body of the entry. Subtitle is included, as is the imprint.

Data which are omitted from the CIP entry supplied to the publisher for printing in the book, but which will appear on the preliminary printed catalogue card and in the Australian National Bibliography, are the price and the statement of the number of volumes. (The latter element, usually appearing as "1v." in the collation statement position, must be input to the ANB MARC

system for programming reasons.)

An example of an Australian CIP entry printed on the verso of the title page is given in Appendix II. The example is accompanied by the preliminary printed catalogue card, the final printed catalogue card, the preliminary ANB entry, and the final ANB entry for the same title.

Let us now examine in some detail certain elements of the NLA CIP entry.

1. Main entry (when a personal author)

Name headings are established according to AACR (North American Text). Where the author's birthdate is required, this will be included in the heading supplied. However, publishers may, if an author indicates unwillingness to have his date of birth made public to his readers, omit the birthdate and substitute the word "date". This substitution indicates to the cataloguer/technician that the preliminary and final printed cards will include the actual date. For example, the heading which appears in the book will be in the form,

Sheridan, John, date

The printed cards will bear

Sheridan, John, 1918-

In the case of pseudonymously published books, if the author's real name has been used in the CIP data - either as a main or added entry - and either the publisher or the author prefers that this real name not be revealed, the publisher may, at his discretion, omit the name, substituting a long dash to indicate the omission. Again, the printed cards will use the real name.

2. Title

This is the full title, including the subtitle, if present.

3. Series statement

The series statement gives the series title in the form in which it appears in the book. This form may or may not be the same as that established where the series is to be listed (that is, accessed by a series added entry).

4. Bibliographical notes

The CIP data will include notes on bibliographies, indexes, etc, e.g.

Index.

Pagination is not given.

In the case of the contents note for a multivolume monograph, only the first three elements are provided, followed by "[etc.]". This notation is considered sufficient to suggest the style of the contents note for the cataloguer/technician, who can then complete the data from the book in hand.

5. Library of Congress subject headings

The CIP entry carries the full, established LCSH. Unless major changes have occurred, these data will be exactly the same as those on the printed catalogue cards when available. As mentioned in the section dealing with subject cataloguing, below, some modifications are made where necessary to meet local needs. Non-LC subject headings are indicated by brackets.

6. International Standard Book Number (ISBN)

The ISBN is included in the ANB/MARC system and can be used by librarians in pre-publication ordering operations. Most Australian publishers with a significant annual output assign

their own ISBN. This self-assigned ISBN is noted by the publisher on the data sheet accompanying galley material submitted for cataloguing. In other cases, ISBN are supplied by the Australian Standard Book Numbering Agency, which is a sub-unit of the cataloguing unit which prepares the CIP entries.

When a book is available in more than one format, the only difference being the binding, the ISBN for each variant will be included in the CIP data. Identification will follow each ISBN except the trade edition, which is used as the computer control number in the Australian National Bibliography, and which will remain unqualified. For example, the ISBN for the paperback edition will be qualified by "Paperback".

Descriptive cataloguing

National Library of Australia CIP entries are prepared in accord with the rules for main entry and description laid down in the Anglo-American Cataloging Rules (North American Text) (AACR)[1] and its amendments as approved by the American Library Association's Descriptive Cataloging Committee and the Library of Congress.[2] Chapter Six of the code, which chapter deals with the descriptive elements of the catalogue record, has been revised to incorporate the new international standard, International Standard Bibliographic Description for Monographic Publications (ISBD(M)).[3] This standard was adopted, while still

[1] Anglo-American Cataloging Rules, Prepared by the American Library Association, the Library of Congress, the Library Association, and the Canadian Library Association. North American Text with Supplement of Additions and Changes. [General editor: C. Sumner Spalding] Chicago, American Library Association. [1970].

[2] These additions and changes are notified in the Library of Congress' Cataloging Service (ISSN 0041-7890).

[3] International Federation of Library Associations. ISBD(M)-International Standard Bibliographic Description for Monographic Publications, London, IFLA, 1974.

in draft form, for the Australian National Bibliography and CIP entries, which also appear as preliminary entries in that bibliography,[1] follow these rules for description.

The National Library of Australia applies Part I of AACR in cataloguing for ANB and CIP, with "certain modifications which have been determined in consultation with the Australian Advisory Council on Bibliographical Services (AACOBS) Advisory Panel on Central Cataloguing and according to evidence of consumer needs".[2] At time of writing the modifications are:

> "When, according to the rules, an author is entered under his real name, the form of name given in the heading is the fullest one ascertainable after reasonably extensive, but not necessarily exhaustive, search.
> "Rule 80A has been modified to permit inclusion of dates and name for Australian heads of government and other ministers, e.g. Australia. Prime Minister, 1966-67 (Holt)."[3]

Unlike the Library of Congress, NLA does not pursue a policy of superimposition in cataloguing for ANB and CIP.

Some Australian publishers, like their American counterparts, feel that, for various reasons, they should avoid revealing the real name of an author writing under a pseudonym. Consequently, in cases where the real name is required under AACR, that name will be used in the CIP data, in ANB, ANB/MARC, and on the printed catalogue card, but may be omitted at the publisher's discretion from the entry printed in the book. A long dash is used to indicate the omission, alerting librarians to the fact that the NLA central cataloguing services will provide the real name.

[1] The ANB system also generates a preliminary ANB/MARC record for distribution through the Australian MARC Record Service (AMRS).

[2] Preface to Australian National Bibliography, 1973.

[3] Ibid.

Subject cataloguing

Subject data included in the CIP entry consist of the following:

a) Library of Congress subject headings as codified in the seventh edition of Subject Headings Used in the Dictionary Catalogs of the Library of Congress and its supplements.

The following modifications apply:

"When local subdivision of the subject is designated 'indirect' in the Library of Congress list or its supplements subdivision by Australian place names is effected in this way:
The names of the States of Australia are always used directly after the subject heading and names of shires, cities and other subordinate units are added, if required, as further subdivisions, e.g. GEOLOGY - VICTORIA - GIPPSLAND not GEOLOGY - AUSTRALIA - GIPPSLAND."

"Period divisions used after the subject subdivisions Description and travel, Economic conditions, History, Politics and government and Social conditions may cover the specific period dealt with in the work being catalogued, e.g. a history of Australia in the 1820s would have the subject heading -
Australia - History - 1820-1829
When a book covers a broad, undefined period, the following general subdivisions are used;

(a) 19th century, etc.
(b) 1788-1851, 1851-1901, 1891-1901. 1901-1945, 1945-1965, 1965-

The divisions in (b) correspond to the period divisions in Australia: DC Expansion.[1]
The heading: New South Wales - History - First Fleet, 1781-1788 is used for literature about the First Fleet.

"A subject heading which is not used in the Subject Headings used in the Dictionary Catalogs of the Library of Congress or its supplements is distinguished by bracketing the Arabic numeral preceding the tracing note. Categories of heading omitted from the Library of Congress, e.g. names of persons or corporate bodies are excepted from this practice."[2]

[1]National Library of Australia. Australia: DC Expansion, Canberra, 1971.

[2]Preface to Australian National Bibliography, 1973.

b) Dewey Decimal Classification number (latest edition). Expanded DDC numbers for Australian period and area divisions, as developed and published[1] by the National Library, are used. Expanded numbers are distinguished in the CIP entry by bracketing, e.g. 994.23[2] = Terowie, South Australia.

Printing the CIP entry

The CIP data are printed on the verso of the title page, and are preceded by the statement "National Library of Australia Cataloguing in Publication Data." This statement is important to identify the source of the cataloguing information.

Data elements must be printed in exactly the same form and sequence and with the same punctuation as appears on the copy supplied by the National Library.

Coverage

At 30 September 1974, of the 288 commercial and academic publishers represented in the 1973 annual cumulation of the Australian National Bibliography, 51 had, since the commencement of the CIP programme in May, agreed to participate. While, in terms of publishing houses, this does not appear to represent a substantial coverage, it must be realized that 218 of the total number publish fewer than 10 titles per year and that the participating publishers have annual outputs ranging from 11 to in excess of 100 titles. It is estimated that the output of these publishers constitutes

[1]National Library of Australia. Australia: DC Expansion, Canberra, 1971.

approximately 25 - 30 percent of the total annual Australian trade and academic output.

During the four months of the programme's operation, at time of writing, 368 books had been catalogued in advance of publication.

CHAPTER 3

THE SOVIET UNION

Introduction

The nature of cataloguing in publication in the USSR differs markedly from that in the United States. If we wished to employ brief, and perhaps over-simplified, catchwords which emphasize the polarity of each system, we might describe the Soviet system as decentralized and the American as centralized. Whereas in the United States a national bibliographic agency is the sole supplier of CIP data, in the USSR the load is shared and the supplier is not a bibliographic agency but the producers of the books themselves - the publishing houses.

The arrangement has a primacy that, in terms of efficiency, cannot but be appealing. The question of logistics does not, on a scale of any magnitude, arise. There is no shipping of proofs or data sheets across a continent; neither is there a subsequent return flow of cataloguing information - with the delays and frustrations which, no matter how well organized the operation, must at least occasionally occur. Rather, the cataloguing data are generated at the point of production by the producer as an integral component of that production.

Background

But the divergence between these two large nationwide systems is deeper. In the USSR the provision of CIP data, in varying forms, is mandatory for all publications intended for public libraries. This prescription carries the force of law and is a part of the general planning for a comprehensive information system, being provided for in the "Information and Bibliographic

Documentation System" outlined in 1969 in a series of State Standards.

The introduction of publishing houses into the network of centralized cataloguing services in the USSR following the issuance, in 1959 by the Central Committee of the Communist Party of the USSR, of a directive entitled "Conditions and measures for improving library services throughout the country"[1] and the subsequent directives establishing the present CIP system in the USSR up to the State Standard GOST 7.4-69 have already been described elsewhere in more than adequate detail.[2]

The first attempt by the publishing houses to issue books with classification numbers and annotated catalogue cards for use in public libraries[3] were made in the 1960's. However, only a small number of publishing houses were able to accomplish this and some commenced placing a model of an annotated catalogue card and class number in the book.

Clearly, from the point of view of libraries, the most effective method of disseminating cataloguing data results in the receipt, together with the book, of a full set of catalogue cards. If these cards already carry typed added entries, processing is limited to the filing of the cards. Alternatively, a single card may be supplied with the book and the task of reproduction left to the library - still a minimal outlay of resources compared with the total task of cataloguing and card production. But the insertion of data printed separately on a card or slip (as recommended by R.S. Giljarevskij[4]) is not

[1] Verner W. Clapp, "Cataloguing in Publication", Unesco Bulletin for Libraries, v. 27 no. 1 (January-February 1973) p. 8.

[2] The legal underpinnings of the USSR CIP operation is described in detail by Eleanor Buist in "Steps Toward Cataloging at Source in the USSR", Wilson Library Bulletin, June 1970, pp. 1033-39, and by R.S. Giljarevskij of the All-Union Library of Foreign Literature in his IFLA sponsored Unesco report, International Distribution of Catalogue Cards [Paris] Unesco, 1969, pp. 31-40.

[3] Public libraries are far greater in number in the USSR than all other types of libraries. This fact, in addition to the consideration that the small public library, because of a probable lack of trained cataloguing staff, stands to gain most from the provision of authoritative central cataloguing data, accounts for the emphasis upon services to public libraries in the USSR.

[4] R.S. Giljarevskij, op cit., pp. 39-40.

only expensive and disruptive of publishing schedules but risky, since the possibilities of omission or loss in transit are ever present. It is not, therefore, surprising that the new system of pre-publication cataloguing in the USSR, in accord with State Standard GOST 7.4-69 (1969), is manifested by the printing in the book of what is called in the literature a "model" catalogue card. At the same time, the alternative of supplying separately printed catalogue cards which supplement the classification data printed on the verso of the title page is left open to publishers. At present, 185 of the 233 central, republican, regional, and district publishing houses in the Soviet Union are issuing books with a printed CIP entry; others in Union republics (e.g. Moldavian, Turkmenian, and Ukrainian SSR) publish a catalogue card simultaneously with the book.[1]

As prescribed by the government standard, pre-publication cataloguing applies primarily to books intended for public libraries. These are books sold at a fixed price in an edition of at least 8,000 copies if published in Moscow or Leningrad, or irrespective of the edition size in the case of local publishers. Specialized documents, the proceedings, papers, etc. of scientific institutes and societies, and material issued for limited distribution with government agencies or departments are excluded. However, a wider development of CIP is envisaged with its extension to works intended for scientific libraries.

As we have already noted, the established system of cataloguing in publication in the USSR has certain peculiarities which distinguish it from systems elsewhere. The most noteworthy of these is that the responsibility for the provision of CIP data rests on the publisher. The largest publishers, who are the greatest issuers of books in the country, have on their staffs

[1] Letter from Mme A.A.Khrenkova, Chairman of the Cataloguing Commission of the USSR, 24 May 1974.

qualified library personnel who, as a rule, make up the classification number and the model of the annotated catalogue card. Smaller publishers in the republics and regions may send their books for cataloguing to the republic or regional book chambers or central libraries.

Publishing in the USSR

The present day scope of publishing in the USSR is vast. According to the United Nations Statistical Yearbook, the Soviet Union is the largest world publisher. With an annual output that has risen to 85,000 titles,[1] published in some 145 languages including 89 languages of Soviet national groups,[2] it is not surprising that the USSR has long recognised the need for bibliographic control on a statewide level. Certain peculiarities of the Soviet publishing scene facilitate the implementation of measures to achieve this control.

All publishing houses in the USSR are owned and controlled by the State. Since 1963 publishing has been guided by the State Publishing Committee of the Council of Ministers of the USSR, which co-ordinates and directs the operations of all publishing houses, printers, and booksellers. The Committee is guided by republic-level publishing committees in the union republics and also by regional and district publishing offices.

The central publishers of significance comprise a quarter of the total number and are located in Moscow, with branches in Leningrad. One half of the publishing houses are dispersed in various cities of the 15 republics.[3]

[1] Letter from Mme A.A.Khrenkova, Chairman of the Cataloguing Committee of the USSR, 24 May 1974.

[2] Figures are for 1969 and were taken from "A Report on Book Publishing in the USSR", Publishers Weekly, 21 September 1970, p. 179.

[3] Ibid.

Bookselling in the USSR is a system of booktrading organizations operating under the guidance of publishing committees on both the all-union and republic levels, and co-ordinated by the All Union organization Sojuzkniga, which is the main wholesaler of literature published by the central publishers for all organizations of the book trade.

Notwithstanding questions of economics and self-financing, which take their proper place in the activities of publishers, printers, and booksellers, the relationship betweer the three can be seen to be a very special one which is hospitable to planning and co-ordination on a nation-wide scale, geared to the consideration of the needs of the national economy.

Three major traits which exerted an influence on the character of CIP in the USSR can be identified: a) state control of all phases of book production; b) the geographic dispersion of publishing centres; c) the multi-national composition of the Union.

Scope

The approval, in 1969, of the USSR State Standard GOST 7.4-69[1] made it obligatory for all publishing houses in the country to issue all publications - books, brochures, music, periodicals, newspapers, maps, etc. - intended for public libraries together with a classification number, an author mark, and a model of an annotated catalogue card.

The full CIP entry is not obligatory in children's books, art books, or in publications where it is considered its presence is precluded by aesthetic considerations. In addition, the model card (but not the class marks) may be omitted if the publishing house is able to supply printed catalogue cards with the books.[2]

[1] Vykhodnye svedeniia v izdatel'skoi produktsii (The Imprint in Publications)

[2] Some publishers in union republics, such as the Moldavian, Turkemian and Ukrainian SSR, do this.

Communications with publishers

The systematic guidance of book cataloguing in the metropolitan publishing houses is carried out in Moscow by the National V.I. Lenin Library and in Leningrad by the Saltykov-Ščedrin State Public Library. The Lenin Library, in addition, co-ordinates the activity of all publishing houses in the field of pre-publication cataloguing.

For the purpose of fulfilling its main task - the management of cataloguing in the central publishing houses, whose combined book output constitutes the overwhelming majority of new acquisitions in public libraries - the Lenin Library holds monthly consultations for the staffs of these publishing houses (literary and technical editors, artists, illustrators, and representatives from management level). These meetings provide an opportunity to review the cataloguing efforts of that particular publisher. Teaching seminars are regularly convened for the benefit of the librarians on the staff of the publishing houses, who are responsible for the preparation of the cataloguing data.

Further to assist the work of the publishers and the regional system centres, the Lenin Library issues instruction manuals and reviews the activities of publishers in the sphere of centralized cataloguing. In these publications, the experiences of publishing houses are summarized and questions of organization are dealt with; the requirements of GOST 7.4-69 are explained and example of print type for the various elements of the CIP entry are given. The standardization of descriptive cataloguing and classification is laid down in state-wide instructions and manuals,[1] as applicable to the type of library

[1] For example, Instructions on Centralized Classification and Cataloguing of Books. Annotation of Books by Publishers, Moscow, 1960. Consultation in Classification and Cataloguing of Books in Publication, Moscow, 1964. Letter of Instruction in the Methods of Centralized Classification and Cataloguing of Books in Publication for Public Libraries, Moscow, 1967. Centralized Classification and Cataloguing of Books in Publication for Public Libraries. A Consultation, Moscow, 1970 (A revised and enlarged edition will be published in 1975.)

expected to be the chief recipient of the book. These manuals are regularly re-issued and supplied to the publishing houses and regional centres.

In organizing the cataloguing activity in the large publishing houses in Moscow and Leningrad, it is recommended that one person be responsible for the completeness of copy and for ensuring that cataloguing takes place at a stage when no further editorial changes are likely. Outside the two major cities, where cataloguing is done by an outside library or book chamber, it is stressed that cataloguing must not disrupt publishing schedules - a familar admonition.

Elements of the entry

The Soviet CIP entry may include the following elements:

a) Main (author) entry
b) Title
c) Edition statement
d) Imprint
e) Collation
f) Series statement
g) Annotation
h) Public Library call number (class mark plus author mark)
i) Universal Decimal Classification number (scientific works)
j) Booktrade classification number
k) Publisher's book number
l) Abstract (scientific works)

The inclusion of the collation is noteworthy. This is clearly possible because of the close relationship between publisher, cataloguer, and distributor. The formulation of the collation line can take place at a final stage since the pre-publication cataloguing is but another operation integral with the production cycle.

The data include neither ISBN nor subject heading tracings. An example of a USSR CIP entry is given in Appendix III.

Descriptive cataloguing

CIP entries are prepared in accord with standards laid down by state-wide instructions and manuals as applicable to the type of Library which serves the anticipated audience of the publication, e.g. Uniform rules for description of publications and organization of dictionary catalogues for small libraries (Moscow, Kniga, 1971) These manuals are regularly re-issued and supplied to the publishing houses and regional centres.

The type of printed matter or the subject content of the publication being catalogued determines which of the following parts of the Uniform Rules is applied:

Uniform rules for the entry of printed matter in library catalogues. Moscow-Leningrad, 1949-58.

- Pt.1, no. 1: Entries for books. 1949 (2d edition corrected and enlarged, 1959 and 1960).
- Pt.1, no. 2: Organization of an alphabetical catalogue of books. 1952 (2d edition corrected and enlarged, 1961).
- Pt.2: Entries for periodical publications. 1954.
- Pt.2: Entries for cartographical publications. 1950.
- Pt.4: Entries for music publications. 1952 (2d edition corrected and enlarged Entries for music and sound-recordings. 1963).
- Pt.5: Entries for printed drawings. 1958.
- Pt.6: Special types of technical publications. 1957.
- Pt.7: Entries for sound-recordings and audio-visual material. 1968.
- Pt.8: Entries for leaflets of socio-political content. 1969.

Uniform rules for the entry of printed matter and the organization of an alphabetical catalogue in small libraries. Moscow, 1963.

Short rules for the entry of music and sound-recordings in public libraries. Moscow, 1965.

Group processing of printed matter. Instructions and guidance. Moscow, 1958.

At time of writing, work is in progress in the USSR on the application of ISBD(M).

Subject cataloguing

In the Soviet Union, where the emphasis has long been on the classified catalogue with its short alphabetical key, subject headings have never been used extensively as is the case in the United States and Australia. The absence of subject headings from the CIP entry is indicative of the rejection of the dictionary catalogue in general libraries.

At least two classification numbers are present in the Soviet CIP entry. In the upper left hand corner of the verso of the title page of books intended for public libraries[1] is the library call number. This comprises a classification number based on the latest edition of the Tablitsy bibliotechnoi klassifkatsii dlia massovykh bibliotek (Classification Tables for Public Libraries)[2] - a simplified form of the Universal Decimal Classification adapted for Soviet conditions - and an author number or "Cutter" derived from the latest edition of Two-digit author tables.[3]

The Standard specifies that all books in science and technology must carry a full Universal Decimal Classification (UDC) number. In cases where the UDC number is included it is placed after the call number. Scientific works must also have an abstract on the verso of the title page.

In addition, all books distributed through regular book trade channels carry, in the lower left hand corner of the verso of the title page, a number

[1] These are defined as books published by central publishers (in Moscow and Leningrad) in editions of 8,000 or more, and by local publishers, irrespective of edition size. Scientific publications and items with limited distribution are excluded.

[2] Z.N. Ambartsumian, ed. Tablitsy bibliotechnoi klassifkatsii dlia massovykh bibliotek, Moscow, Kniga, 1973.

[3] L.B. Khavkina, Two-Digit Author Tables, Moscow, Kniga, 1972.

based on the Edinaia skhema klassifikatsii literatury v knigotorgovi seti (Standard Classification System for the Book Trade). Below this number is added the year and item number for the particular title taken from the publisher's advance catalogue. The booktrade classification number may be used in the bookstore for shelving by subject.

The use of UDC meets the needs of libraries outside, as well as within, the Soviet Union. Because the UDC number is a subject tag independent of language and alphabet, it can be recognized instantly within the international library community and thus facilitates at least the preliminary processing of books so identified.

Printing the CIP entry

The CIP data has been seen to be made up of two components[1]: the classification and author marks, and what is usually referred to in the literature as the "model card". The first component must be printed on the verso of the title page; the second may be printed on the verso of the title page or at the end of the book.

To assist publishers to meet the requirements of GOST 7.4-69, the V.I. Lenin Library issues comprehensive sets of instructions which give samples of bibliographic descriptions, print type, and format of the entry.

Conclusion

Decentralization in any sphere of activity other than one involving the most mechanical procedures inevitably incurs the problem of the difficulty of maintaining satisfactory levels of standardization. Bibliographic

[1] Science monographs will comprise three: an abstract must also be supplied, printed on the verso of the title page. In the case of science articles in collections, the abstracts are printed as a separate page insert.

description is an area in which much of the effort of recent years has been exercised in grappling with this very problem on an international scale. On a national scale, standardization - codified rules notwithstanding - is just as elusive; indeed, within a large agency ensuring consistency of individual cataloguing decisions is often a difficult enough task. For centralized cataloguing purposes the catalogue entry must be irreproachable. Giljarevskij, rightly, shares these doubts that the production of a final, authoritative CIP record can be achieved by a decentralized approach, since the reliability of the cataloguing depends very much upon the size of the catalogue in the bibliographic agency where that cataloguing is being performed.[1] While his other reservations may have, since 1969, been proved insubstantial, the need for a large "mother" catalogue, to act in part as an authority file, is inescapable.

[1] R.S. Giljarevskij, op cit., p. 38.

Background

BRAZIL

In Brazil, as in the United States and Australia, the CIP programme currently operating had been foreshadowed by other schemes. However, although isolated attempts had been made in the past to supply cataloguing data integral with the book - chiefly by publishing houses and organizations engaged in cultural activities - it was only after 1971, with the creation of the CIS[1] centres, that CIP was systematized.

The programme grew out of a proposal which was presented to, and approved at, the third Meeting of Brazilian Publishers and Booksellers, held in Serra Negra, São Paulo, in August 1970. However, it must be remembered that the Third Congress of Brazilian Publishers and Booksellers, held in Rio de Janeiro in 1956, approved recommendations for the indication in every Brazilian publication of (a) the printed card number or even the printed card itself, produced by IBBD, and (b) the UDC number (cf. Terceiro Congresso de Editôres e Livreiros do Brasil, promovido pelo Sindicato Nacional das Emprèsas Editòras de Livros e Publicações Culturais e pela Câmara Brasileira do Livro. Rio de Janeiro, Ministério da Educação e Cultura, Serviço de Documentação, 1959, p.93, 190-192). Four motivating factors lay behind this proposal: 1. the inexistence of current up-to-date bibliographies; 2. the inexistence of pre-publication catalogues (such as Books in Print); 3. the lack of books-with-cards programmes, or a card service; 4. the stimulus provided by the Library of Congress' planned CIP Program.

The feeling that the publishing trade in Brazil had developed sufficiently and that publishers were increasingly ready to accept the idea of CIP proved correct. Through the initiative of the Câmara Brasileira do Livro (CBL), in São Paulo, and the Sindicato Nacional dos Editôres de Livros (SNEL), in Rio de Janeiro - the two bodies which bring together the majority of Brazilian publishers and booksellers - cataloguing centers were set up in each city- The São Paulo centre commenced operations on 1 July 1971 and the Rio de Janeiro centre in November of that year. The former is responsible for

[1]The term used in Brazil is Cataloguing-in-Source, i.e. CIS. In the interest of consistency, however, the acronym CIP will continue to be used in this chapter.

cataloguing books issued by publishers in the State of São Paulo; the latter for the cataloguing of the output of the State of Guanabara. The sheer size of Brazil made it necessary to establish centres in the two cities where the country's main publishing houses are located. Since both states produce between them approximately 90 percent of the book publishing output of Brazil, national coverage is potentially high.

In operating independently of a national bibliographic agency, the Brazilian CIP programme is unique. Apart from an annual grant given by the São Paulo City Hall (only since December 1973) the programme is supported by the two bodies responsible for its establishment, with publishing houses contributing a small fee for each book catalogued. Much of the success of CIP in Brazil must stem from the close relationship with publishers facilitated by the support of CBL and SNEL.

Besides the aims common to all CIP programmes, the Brazilian CIS Program has the following specific objectives[1]:

1. to contribute to the standardization of nationwide cataloguing;
2. to facilitate information retrieval and the exchange of bibliographical information within the country;
3. to set up an infrastructure for Brazilian integration with the international bibliographic information control system;
4. to aid the technical services of libraries located outside of the state capitals, which lack trained personnel and financial resources.

Scope

The Brazilian CIP programme covers only monographs published by trade and academic publishing houses. Government publications, serials, and non-book

[1] Cataloging-in-source in Brazil: a report prepared by Regina Carneiro and Marily Godoy Antonelli of the Câmara Brasileira do Livro [1974]. This report was made available to the writer by Mme Carneiro.

materials are excluded. In-scope monographs include elementary through university textbooks, juvenile literature, fiction, works of general interest, and works co-published by trade publishers and cultural organizations. The most important members of the latter class are the Instituto Nacional do Livro (Ministério da Educação e Cultura) and Editora da Universidade de São Paulo. (These groups contributed to the progress of CIP in Brazil by obliging all co-publishers to publish CIP data.)

Funding

The two cataloguing centres are supported financially by the bodies responsible for their creation: Câmara Brasileira do Livro and Sindicato Nacional dos Editores de Livros. Publishing houses also contribute a small fee for each book catalogued. The sole governmental aid received is given by the São Paulo City Hall in the form of an annual grant to the CBL, under the provisions of a Municipal Law of 18 December 1973.

Communication with publishers and librarians

Publishers join the programme through personal contacts or telephone calls. By way of publicising the activities of the programme, CIS Brazil personnel have presented papers at national conferences and lectured on CIP. No surveys establishing the utility of CIP to Brazilian librarians have been undertaken, although it is reported that the reactions of individual librarians have been favorable. A comprehensive report on the programme was issued by the CBL in 1972.[1]

[1] Regina Carneiro and Neyde Pedroso Póvoa, O Centro de Catalogação-na-fonte do Câmara Brasileira do Livro: Atividades e perspectivas de cooperação, São Paulo, 1972.

Copy submitted

Publishers usually submit paged proofs (a final proof, later than the galley proofs used in the United States and Australia) together with available front matter such as title page, copyright page, contents list, preface, or introduction. Front matter may be typewritten or manuscript versions. The proof material is accompanied by two data sheets: Form I, which is completed by the publisher, and Form II, completed by the author or translator, when this is possible. (Appendix IV)

The centres set a maximum of five working days turnaround time for return of proofs and cataloguing data, although most titles are catalogued in less time.

System

Although the two processing centres are located some distance apart, they have the same objectives and procedures. To overcome the problems inherent in any, even partially, decentralized system for the provision of authoritative centralized cataloguing data, which must conform to uniform cataloguing standards, personnel from the CBL and SNEL cataloguing centres maintain close liaison. Periodical meetings are held so that ideas and information may be exchanged and cataloguing decisions arrived at jointly.[1]

The Brazilian CIP programme is not part of a national bibliographic programme, although the future supply of input to the CALCO Project (similar to MARC) is planned. There is no catalogue card service in Brazil - a factor which provided impetus for the establishment of a CIP programme.

[1]Minor differences in cataloguing are discussed later in the section dealing with the elements of the Brazilian CIP entry.

cataloguing centre publishes a list of new titles catalogued in publication entitled Oficina de livros, which is issued bi-monthly, cumulating annually. The first issue appeared in 1974 and includes titles published from December 1973 through April 1974. The main two alphabetically arranged sequences of Oficina de livros - general works and text books - are accessed by subject and publisher indexes. The physical format, with card overflow printed on the verso of the page, permits cutting out and filing of the entries.

The Centre also issues indexes for classified catalogues, lists of subject headings, and lists of author name headings with reference tracings.[1] In a country faced with shortages of trained librarians such lists, which can be used in conjunction with the CIP data printed in the books, would prove invaluable.

In 7 June 1975, the publication Livro (a fortnightly bibliographic supplement of the Rio de Janeiro's newspaper Jornal do Brasil) has initiated a new section of "Livros no Prelo" (books in Print), under the auspices of IBBD. A new and very important source of the Brazilian current bibliography is the Accessions List. Brazil, a bi-monthly periodical published by the Library of Congress Office in Rio de Janeiro, according to the National Program for Acquisitions and Cataloguing (LC card number 74-642503. ISSN 0095-795X).

The SNEL centre publishes a monthly bulletin entitled Resenha bibliográfrica and as of June 1973 has included a section entitled "Livros no prelo" (Books in Print) listing the titles processed at the centre.

Elements of the entry

The Brazilian CIP entry includes the following data elements:

1) Main entry
2) Title (including subtitle)
3) Author statement, when necessary
4) Edition statement
5) Imprint
6) Collation (partial)
7) Series statement
8) Notes
9) Subject headings
10) Added entries
11) Classification numbers
12) Optional symbols

[1]For example, Cabeçalhos uniformes dos nomes dos autores and Cabeçalhos de assunto, São Paulo, CBL, 1972- . (The first issue covered headings established between 1 July 1971 and 31 July 1972.)

13) Author number(s)
14) Card identification number

The inclusion of this amount of cataloguing information makes for a very detailed entry which requires only completion of the collation before incorporation in a library's catalogue. In addition to these elements, ISBN will be included once the system is established. This is presently being studied in Brazil.

An example of Brazilian CIP data is given in Appendix IV.

Some of the data elements warrant examination:

1. Collation

This is only a partial collation in that the number of pages is not usually given, except in the case of reprints where no pagination change will occur. The presence of illustrative matter is indicated by the abbreviation - "ilust".. No mention is made of the type of illustration or whether it is in colour. Size is excluded.

2. Classification numbers

All books are classified by Dewey Decimal Classification (DDC), with Brazilian expansions where appropriate. (DDC numbers are identified by the prefixed symbol CDD.) In addition, both centres assign Universal Decimal Classification (UDC) numbers to law books. For all books co-published by the Instituto Nacional do Livro (INL) the Sindicato Nacional dos Editores de Livros (SNEL) assigns UDC numbers, as well as DDC. (UDC numbers are prefixed CDU.) At the request of BIREME - the Regional Medicine Library, Pan-American Health Organization, with its headquarters at the Escola Paulista de Medicina in São Paulo - all medical books catalogued by the Câmara Brasileira do Livro (CBL) as of 1973

carry U.S. National Library of Medicine (NLM) classification numbers. A DDC number is also assigned. (The NLM class number is prefixed NLM).

3. Optional symbols

These include J, for juvenile literature, and B, for individual biographies.

4. Author number(s)

This is a Cutter-type number derived from Heloisa de Almeida Prado's Tabela PHA.[1]

Descriptive cataloguing

Entries are prepared in accord with the rules for main entry and description laid down in the Anglo-American Cataloging Rules (North American Text) (AACR) and the Código de Catalogacao anglo-americano,[2] which includes Appendix VIII: "Brazilian and Portuguese Names".

International Standard Bibliographic Description for Monographic Publications (ISBD(M)) is, reportedly, likely to be adopted following publication of the revised Chapter 6 of AACR. Its use depends upon acceptance of the standard by the majority of important Brazilian libraries.

Brazil's conformity to cataloguing codes and standards embodied in both the American and Australian CIP programmes extends the potential use of its data beyond the national boundaries and goes far towards bringing Brazil into the international bibliographic control system - a stated objective of the programme.[3]

[1] Heloisa de Almeida Prado, Tabela PHA, São Paulo, Ed. Sociologia e Polftica, 1964.

[2] Código de Catalogacao anglo-americano, Brasilia, Ed. dos Tradutores, 1960.

[3] Cataloging-in-source in Brazil: a report prepared by Regina Carneiro and Marily Godoy Antonelli of the Câmara Brasileira do Livro [1974].

Subject cataloguing

Subject data included in the Brazilian CIP entry comprise all or some of the following:

a) Library of Congress subject headings as codified in the seventh edition of Subject Headings Used in the Dictionary Catalogs of the Library of Congress and its supplements;

b) Dewey Decimal Classification number (17th and 18th editions), with extensions of the scheme for Brazilian subjects;

c) Universal Decimal Classification number;

d) National Library of Medicine Classification number.

Brazilian classification numbers are assigned in accord with the provisions of the appropriate schedules listed below:

International Federation for Documentation, Classificação decimal universal; edição abreviada portuguesa, Lisbon, Centre de Documentação Científica, 1961.

-------- Classification decimale universelle : sciences sociales, 3. 5th ed. Brussels, Mundanuem, 1952 (Publication no. 252).

-------- Comissão Brasileira de Classificação Decimal Universal, Classificação decimal universal, ed. desenvolvida em língua portuguesa - Classe 8 : filologia e literatura, ed. provisória para revisão e crítica, Rio de Vaneiro, IBBD, 1973. (adopted only in the CCF/SNEL)

-------- -------- Classe 32 : política, ed. para revisão e crítica, Rio de Janeiro, IBBD, 1972 (adopted only in the CCF/SNEL)

U.S. National Library of Medicine, National Library of Medicine Classification, 3d ed. with 1969 supplementary pages added. Bethesda, Md, 1969. (adopted only in the CCF/CBL)

Adelfa S.R. Figueiredo, Extensões das classe 862 - 869.9 - 981 da Classificação decimal de Dewey, São Paulo, Prefeitura do Município, 1955.

Tabela de subdivisão para geografia e história do Brasil, Instituto Brasileiro de Geografia e Estatística.

Tabela de subdivisao para períodos históricos do Brasil, Serviço de Intercâmbio de Catalogação, IBBD, and Arquivo Nacional do Rio de Janeiro.

Besides giving subject headings for use in dictionary catalogues, the São Paulo centre supplies chain indexes for classified catalogues, which are used by many libraries in Brazil.

Printing the CIP entry

CIP data are printed on the verso of the title page. The typography, layout, and, in most cases, framing by a card outline[1] make Brazilian CIP data immediately identifiable and facilitate the use of these data by untrained library personnel.

Coverage

At August 1974, 128, including the most important, trade and academic publishers in Brazil were participating actively in the CIP programme. Some of these have submitted only co-published works, others part of their production, and some of the largest trade publishers nearly 100 percent of their output. The CBL centre is responsible for 74 publishers

[1]Card outlines are not used in books co-published by the Instituto Nacional do Livro (IN.).

and the SNEL centre for the remaining 54.

From the beginning of the programme - CBL: 1 July 1971 and SNEL: November 1971 - to August 1974, a total of 3,610 titles had been catalogued prior to publication. Of these, CBL catalogued 2,589 and SNEL 1,021. No reliable figures are available for estimating the eligible book publishing output in calendar 1973 so that the percentage coverage achieved by the 1,597 titles catalogued by both centres during that year cannot be calculated. Such a calculation is never more than approximate because many books processed during the year will not appear until the following year, while some of the year's output will include books carrying CIP data which was prepared during the previous year.

PART II

PROPOSED PROGRAMMES

CHAPTER 5

FEDERAL REPUBLIC OF GERMANY, MEXICO, THE UNITED KINGDOM, AND CANADA

Federal Republic of Germany

In mid-1974 the Deutsche Bibliothek, Frankfurt am Main, funded by an initial grant from the Deutsche Forschungsgemeinschaft, initiated a study into the feasibility, scope, and aims of a CIP programme for West Germany and West Berlin. Starting with a pilot project involving one of the larger publishers, the study was expanded on 1 December 1974 to involve 26 publishers.

The experience of the U.S. Library of Congress CIP Program has provided guidelines for planning - at least in the initial stages. If the results of the test prove positive, full implementation should be possible in 1975.[1]

Mexico

In August 1973 the Institute de Investigaciones Bibliográficas (Institute of Bibliographic Investigations, which belongs to the National Autonomous University of Mexico) undertook a study into the feasibility of introducing a CIP project, starting with the publications of the Institute.

The results of this study were positive and in March 1974 the project was expanded to include the total publishing output of the University. Cataloguing is in accord with the North American Text of AACR and Dewey Decimal Classification (18th edition) is used. Further details were not at hand at time of writing.

[1] Letters from Dr D. Wolf, Deutsche Bibliothek, dated 2 September 1974, 20 December 1974.

The United Kingdom

Although it is known that the British Library intends to establish a pre-publication cataloguing programme in the U.K. in the Spring of 1975, no information was made available in time for inclusion in this survey. All CIP records will be added to the British Library data base, issued through the U.K. MARC tape service, and printed in the British National Bibliography (BNB).

The concept of the programme differs from that of those operating in the United States and Australia in that emphasis is put upon the fact that a machine-readable bibliographic record is created in advance of publication. Of course, this is a feature of the other two programmes which are integral with automated national bibliographic services. The basic difference is one of emphasis or a question of which feature is seen as a by-product - the data printed in the book or the record held in the bibliographic data base.

Canada

Plans for a Canadian CIP programme had been formulated by the Canadian Shared Cataloguing Group[1] following a favorable response to a recent survey, involving the Canadian publishing industry and library groups, as to the needs of a programme for Canadian publications.[2]

While this preliminary work had been done by the group, it was always

[1]The member institutions of the CSCG are Memorial University of Newfoundland, Simon Fraser University (B.C.), University of Alberta at Edmonton, University of British Columbia, University of Manitoba, University of Ottawa, University of Victoria (B.C.), University of Waterloo, and York University.

[2]Information on the Canadian CIP proposals was derived wholly from letters from Natsuko Y. Furuya (Assistant Director for Technical Services, York University, Ontario) dated 7 October and 22 October 1974, and J. McRee Elrod (Head of the Catalogue Divisions, University of British Columbia Library) dated 28 January 1975.

felt that a national CIP programme should be undertaken by the National Library of Canada and, following discussions held on 15 October 1974 between representatives of the Library and the Canadian Shared Cataloguing Group, a tentative plan has been formulated:

1. The National Library of Canada will establish a Canadian Cataloguing-in-Publication Programme. Preliminary discussions are already under way. The programme will be developed in the next several months so that the implementation could commence as early as summer of 1975.
2. The programme will be coordinated by the National Library of Canada. It will be operated in a decentralized and cooperative mode. Possibly three cataloguing agencies will be established in the major centres of the Canadian publishing industry.
3. The National Library will provide some mechanism such as direct telephone lines by which the established standards of cataloguing could be applied at these cooperative cataloguing centres.
4. CIP data will be put into the National Library's Canadian MARC distribution services.
5. Updating/upgrading of CIP data will be done by the NLC when publications are received there under legal deposit.

Four years ago, the "Canadian Shared Cataloguing Programme" was started by several Canadian university libraries to exchange original cataloguing data in an attempt to eliminate costly duplication of cataloguing effort. In this programme, each member library undertook to "rush" catalogue specific intake segments and to make this cataloguing information available to other members of the programme and to certain other university libraries.

From the utilization patterns of York University's current Canadian imprint cataloguing data, it is apparent that many libraries throughout the country are purchasing a large portion of the current Canadian publications. Since many of these imprints are not covered by the National Union Catalog or Canadiana in time, each library is spending a considerable amount of time cataloguing them originally. In addition, as the distribution of York University's data is limited to fifteen university libraries, and is thus of limited impact, the Group is of the opinion that the implementation of a CIP programme for Canada would be effective in eliminating much of the present duplication of cataloguing effort, in addition to benefitting the library and publishing communities in other ways.

PART III

GUIDELINES FOR IMPLEMENTATION

CHAPTER 6

REQUIREMENTS AND RECOMMENDATIONS

Requirements

1. Relatively stable and efficient book trade.
2. A national bibliographic agency possessing resources - both staff and funds - necessary for the centralized cataloguing of the country's eligible publishing output.
3. Good relations between the publishing and library communities. This is easier to achieve if there is a national publishers' association which can act as a point of contact and a focus for effective channels of communications.
4. Efficient and effective communications and transportation. This is particularly vital in the case of a centralized system.
5. High level of conformity to nationally acceptable cataloguing standards. (To take full advantage of the CIP programmes of other countries, these standards should be international.)
6. Publisher education programmes aimed at promoting a sense of commonality of purpose between publishers and libraries, insofar as both groups are concerned with books, and a realization that savings effected in processing may well be converted to increased purchasing power. These two basic premises provide a starting point in developing a rationale for co-operation.
7. Librarian education programmes ensuring that CIP data is utilized to the full, resulting in savings in resources on a national scale. In countries where the availability or quality of reprographic equipment for the physical production of catalogue is less than adequate, this education may

include workshops or seminars wherein the national bibliographic agency acts as a clearinghouse for technical information. By such sessions, together with intelligently formulated and distributed questionnaires, a bibliographic agency can gather information which will help to monitor the progress and success of the programme as well as indicate areas in which additional advice must be made available to users of the data.

Recommendations

R.1. A feasibility study and pilot project should be conducted before implementation of a full CIP programme.

This study should be undertaken with the co-operation of the national book publishers' association or of at least one of the largest publishers, and should comprise, broadly, seven phases:

a) Investigation of the national need for CIP and establishment of the requirements of existing and potential users of bibliographic information. This should be done in consultation with the national professional organization and/or representatives of a spectrum of libraries.

b) Formulation of the broad specification of a proposed programme in the light of prevailing national bibliographic practices, as indicated by a), above, or revealed by a separate survey. The programme should not be considered in isolation but as an integrated part of a total bibliographic service.

c) Study of operational CIP programmes elsewhere.

d) Design of the system, including work study to establish staffing and funding requirements.

e) Selection of the publisher(s) participating in the pilot project.

f) Monitoring of the operation at all levels.

g) Evaluation, which should aim at an assessment of feasibility from the viewpoint of (i) the ability of the bibliographic agency to sustain a continuing programme, (ii) the support of publishers.

R.2. The CIP programme should be centralized and operated by the national bibliographic agency, if one exists.

This ensures:

a) uniformity in the application of cataloguing codes and other standards,[1] thus providing authoritative cataloguing data acceptable to libraries in that country. Uniformity is aided by the probable existence in the institution of a large catalogue acting in part as an authority file.

b) a greater possibility of conformity with international standards since the national bibliographic agency will usually be the liaison agent with standards organizations outside the country. By applying international cataloguing standards, e.g. ISBD, wherever these are not in conflict with national practice, the potential use of the CIP data is extended to other countries.

c) links with the national bibliography and other bibliographic services, such as card services, machine-readable record distribution services, etc. This makes the CIP programme a component of the national bibliographic effort and provides the opportunity for the overall rationalization of services so as best to meet the needs of users. This applies equally in countries without, and with little prospect of developing, automated bibliographic systems.

[1] One of the requirements for success of a CIP programme, or any centralized cataloguing scheme, is, of course, that the majority of libraries in a given country conform to a common set of standards.

In developing countries possessing no national bibliographic agency the programme should nevertheless be centralized, with the responsibility for the provision of cataloguing data borne by the largest publishing house, which will in most probability be a government institution. This, of course, presupposes the availability of the necessary qualified staff and of the funds required.

R.3. The funding of the CIP programme should be established, as soon as possible after the initial feasibility study, as a part of a regular, on-going national bibliographic activity. This will usually mean it is provided for under the budget of the national bibliographic agency. In this way, continuing fiscal support is virtually guaranteed and the programme is neither threatened nor subjected to partisan restriction by the precarious nature of grants.

R.4. The CIP programme should, wherever possible, be a component of the national bibliographic programme. Pre-publication data should appear in the national bibliography as early as possible.

R.5. In countries where no national bibliography exists, it is recommended that pre-publication listing of titles processed by the bibliographic centre should nevertheless be a component of the CIP programme. Such a list should be issued at regular intervals and contain the data prepared for all books processed during the period of coverage. This is done in Brazil.

R.6. Further to assist libraries in regions which suffer from a lack of trained librarians, particularly in the use of CIP data as cataloguing aids, the bibliographic centre should make available lists of name headings with tracings for the appropriate references. Such a list would act as an authority file and would be similar to that issued by the Câmara Brasileira do Livro CIS Center,[1] in São Paulo, and that to be issued by the Library of Congress.[2]

R.7. The cataloguing data should be printed in the book. Perhaps the chief attraction of CIP lies in the basic simplicity of the concept of the "self-cataloguing book", existing independently of external paraphernalia.[3] While the simultaneous provision of a single printed catalogue card, or set of cards, has undisputed advantages, insofar as the data are presented in a form most near to libraries' requirements, the chances of omission or loss in transit are too great. Past experiments show this to be the case. Further, in the case of sets of cards, optimum utility depends upon universal adherence to standards governing the quality and size of card stock to an extent which would be difficult to guarantee.

R.S. Giljarevskij's recommendation[4] that a reproduction of the catalogue card should be inserted in every copy of a book (as is an errata slip) is not feasible for at least two reasons: a) the extra cost of printing and interleafing resulting from creating completely isolated additional

[1] Cabeçalhos uniformes dos nomes dos autores, São Paulo, CBL, 1972- .

[2] U.S. Library of Congress. Library of Congress Name Headings with References, Washington, D.C., 1974(?)

[3] The most persuasive discussion of this aspect of CIP is Verner W. Clapp's article "The Greatest Invention Since the Title-page? Autobibliography from Incipit to Cataloging-in-Publication", Wilson Library Bulletin, v.46 no. 4 (December 1971) pp. 348-59.

[4] R.S. Giljarevskij, op. cit., p. 40.

processes; b) the likelihood of causing more disruption than cataloguing at galley proof stage, which problem the idea is meant to obviate. The existence in all cases of a long interval between preparation of advance copies and actual book printing, upon which this premise is based, is doubtful.

In recommending that the CIP data be integral with the book, it is accepted that leaving with libraries the task of producing catalogue cards presupposes a level of technological capacity, notably in the field of reprography, that may not always be present. On the other hand, the release of professional staff from cataloguing still results in appreciable savings, particularly in countries where such personnel are at a premium.

R.8. Cataloguing should take place at the galley proof stage.

This stage is preferred to a later or earlier stage for the following reasons:

a) The least possible disruption to production schedules is caused.

b) An adequate cataloguing time is allowed. The use of page proofs for the LC CIS experiment of 1958-59 imposed a one-day turnaround time which proved too great a strain.

c) This is the earliest stage at which the book is least subject to alteration in any details which would render the cataloguing incorrect (obvious variables, such as collation, are omitted, anyway). It is, after all, surely more than an editorial change that alters the subject matter of a book. If good communications between publishers and the cataloguing agency are established and maintained, changes in, say, title or subtitle can be notified by

data supplied. (Where an automated national bibliographic service is involved, as in Australia, this communication will trigger correction of the advance record.) That the galley is adequate is further attested to by the fact that the Library of Congress is investigating the possibility of cataloguing from fully completed data sheets alone. The results of these investigations, of course, remain to be seen.

The advantages of early availability of cataloguing data, especially in cases where the CIP programme is a component of a national bibliographic service, are very tangible. Where an advance record is created at the time of cataloguing, this record is available for library - and publishing house - use well before publication of the book. If input to a national bibliographic data base, bibliography, or card subscription service, this record can be used as a selection[1] or alerting aid. Publishers can use the CIP data in trade catalogues and other promotional literature, thus contributing to consistency throughout the selection, ordering, acquisition, and processing phases. As a further function of early cataloguing, libraries have the opportunity to order printed catalogue cards, if they wish, to be ready when the books, selected from the national bibliography, arrive.

R.9. The printing of CIP data in the book should be standardized with regard to its position in the book and typography. Brazilian CIP data could be studied with profit in respect of typography and ease of recognition. Consideration should be given to printing data in the back of the book if this allows the data to be displayed better.

[1] Some British publishers are already putting pre-publication data in machine-readable form and supplying it to libraries for this purpose.

R.10. The CIP data should exclude elements which are subject to a high risk of change between cataloguing and publication. Such data elements include:

a) Subtitle,

b) Imprint,

c) Collation.

In view of the ready availability of this information from the book in hand, the risk accompanying the inclusion of any of the above appears unwarranted. The difficult aspects of cataloguing which require professional expertise and which should reflect as high a degree of conformity to national or international bibliographic standards as possible are precisely those elements which are least likely to change during the period between pre-publication cataloguing and publication.

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